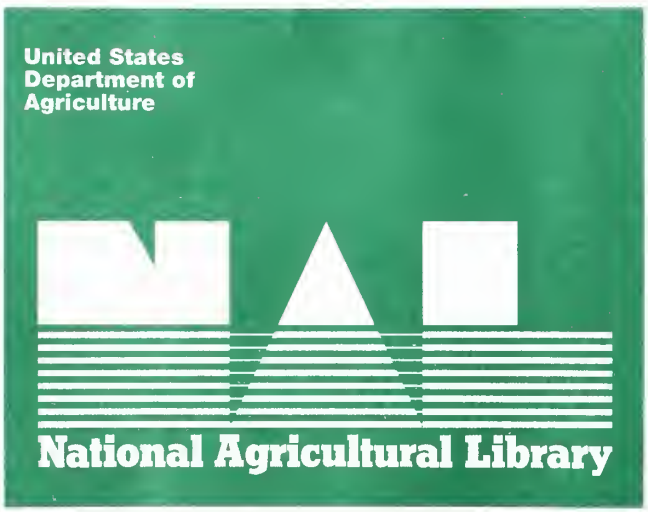
APHIS Vision Launch Workshops

RESOURCE GUIDE


United States
Department of
Agriculture
National Agricultural Library

ACHIEVING THE VISION
RESOURCE GUIDE CONTENTS

TAB 1

TAB 2

TAB 3

TAB 4

TAB 5

Transformational Change

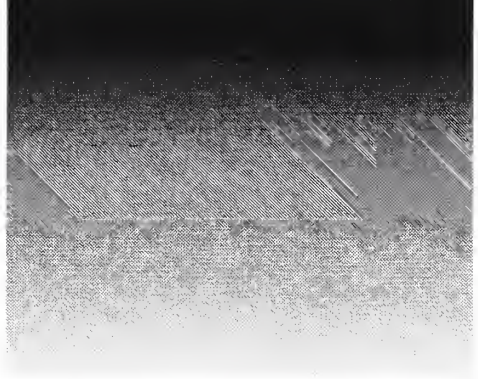
VISION — Vision

- Vision: What the organization will be like once the transformation has taken place

"The future is not a result of choices among alternative paths offered by the present, but a place that is created—created first in the mind and will, created next in activity. The future is not some place we are going to, but one we are creating. The paths are not to be found, but made, and the activity of making them changes both the makers and the destination."

—John Schaar, Futurist

There must be a vision that represents what the organization hopes to become in the future that is different from its current reality.



What is Vision?

An organizational vision is comprehensive. It includes "directions" for the future, values or "cultural norms" used to get there, and current purpose or mission. It also includes strategies and actions which will move the organization from where it is today to that future desired state.

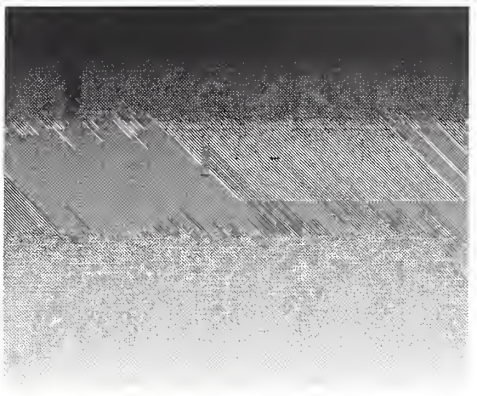
A vision describes the desired future state of the organization in all respects which are important to its stakeholders (internal and external). A vision might address:

- the kind of work that is done
- the people for whom the work is done
- the way in which work is done
- the kind of culture or work environment in which work is done
- the impact of the work that is done
- and anything else that people care about

How do we know when we have a Vision?

A genuine vision is one that:

- describes what we genuinely want and not just what we think we can get
- inspires those who care about the organization
- engages people's imagination and commitment to action



How is a Vision created?

There are many ways to create visions; sometimes leaders bring them to the organization; sometimes whole organizations participate in the creation of visions; and sometimes it is a blend of the two. There is no absolute right way to create a vision; however, the manner in which a vision is created tends to affect the degree of commitment that is engendered, or what is termed alignment. Therefore, as a rule, the more participative the process is for creating a vision, the more likely it will bring about alignment.

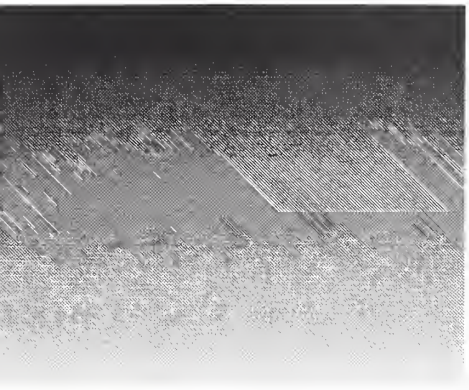
And this inclusion should also extend to those who are not in the organization, but care about it. This includes customers, partners, funders, and others.

VISION — Alignment

- **Alignment:** People regard the vision as their own and commit to its implementation

  "People don't resist change so much as they resist `being`changed"

  There must be broad alignment with the vision by a critical mass of key stakeholders inside and outside the organization.



What is alignment?

- People regard the vision as their own, and not simply attributing it to some other person.

How will we know that we have alignment?

- The APHIS community can describe the vision and can identify how their activities contribute to the achievement of the vision.
- APHIS stakeholders can identify how the APHIS vision benefits them.

How do we start the alignment process?

- The message must be spread far and wide. EVERYONE needs to get involved.
- The message must be repeated—many times, many different ways. By the time you get to the point where you absolutely don't think you can repeat the message one more time or one more way, you might actually be starting to get through.
- Actions speak louder than words - demonstrating the changes in our activities is as important as talking about them. Begin immediately to implement some specific activities that signal a new way of doing business.

VISION — Empowerment

Empowerment
–Granting of authority and encouragement of its use
–Development of skills and knowledge
–Making support available - resources, equipment, coaching, guidance
–Establishing accountability

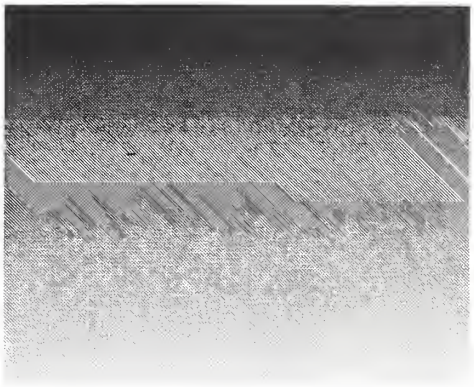
"As for the best leaders, the people do not notice their existence. The next best, the people honor and praise. The next, the people fear,; and the next, the people hate. When the best leader's work is done, the people say, 'We did it ourselves.'"

—Lao-Tzu (Chinese Philosopher)

"The best leader is one who has sense enough to pick good men to do what he wants done, and the self-restraint to keep from meddling with them while they do it."

—Theodore Roosevelt

One of the best ways to get started in your own organization is to activate one of the key dimensions of the transformational change model - EMPOWERMENT! What better way to demonstrate that change is here?



What is Empowerment?

Once there is alignment with the vision, then we must empower all those who have a part to play—inside and outside the organization— in bringing the organization from its current reality to the vision. Empowerment is not a simplistic notion of giving people free rein to do whatever they want. It is first of all predicated on people understanding and being committed to a shared vision; without that alignment, empowerment may simply unleash forces that are counter-productive to achieving the vision.

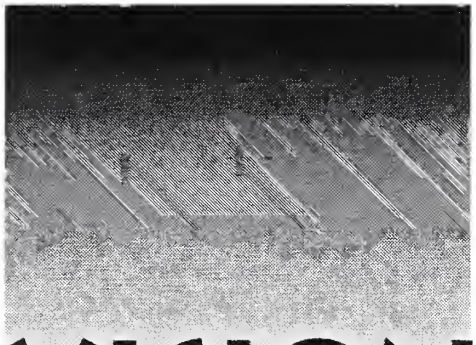
How do we Empower?

In order to empower people to fulfill their role in achieving the vision, we must ensure that they have:

- The needed skills and knowledge
- Access to the needed resources
- The delegated authority, permission, and encouragement, and
- Clarity about results expected and accountability

Some specific ideas for empowerment include:

- Involve and engage all members in the creation, refinement, or implementation.
- Encourage employees to take initiative in responding to agency needs within the boundaries identified by the organization, e.g., resources, the law, customers, strategic trends etc.
- Trust employees based on demonstrated experience, knowledge, and judgment.
- Provide support and "soft landings" for those who engage in responsible risk-taking



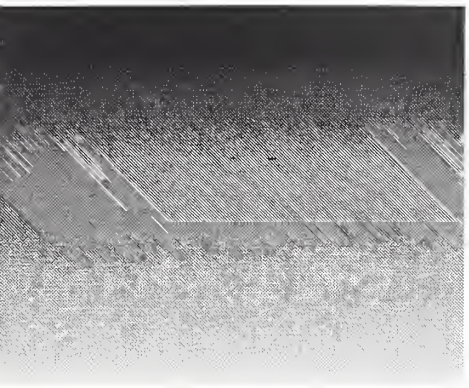
VISION — Systems/Structures/ Processes

- **Systems/Structures/Processes:** Making work processes, policies, procedures and structure compatible with the vision

"A common belief is that a change in structure is a means for changing culture or changing behavior. Changing structure alone is never enough. If the structure changes but the belief system remains untouched, nothing fundamental changes."

—Peter Block

The relevant systems, structures, and processes within the organization must be made compatible with the vision. Often when people think about organizational change, the first thing they focus on are the mechanics, such as structure, etc. These kinds of changes are particularly important when they are made in support of a shared vision. To the extent that these are compatible with the vision, then the transformational effort is working "with gravity"; to the extent that they are out of synch, the effort is working "against gravity".



What are the Systems/Structures/ Processes?

The design of work processes, the policies and procedures of the organization, the formal organizational structure, the geographic and architectural design — all of these and other structural factors play a role in supporting or obstructing the fulfillment of the vision.

How do we make these Systems/ Structures/Processes compatible with the vision?

- Redesigning and re-engineering work processes so they are customer-focused, efficient, and make optimum use of resources
- Examining policies and procedures using the vision as a criterion for revisions
- Explore alternative organizational structures that encourage collaboration, team-work, customer-focus, and shared leadership
- Identify any systems that are outmoded and in need of modification or elimination; also identify systems that are needed in order to create the vision
- Involve stakeholders in all phases of examination and re-design

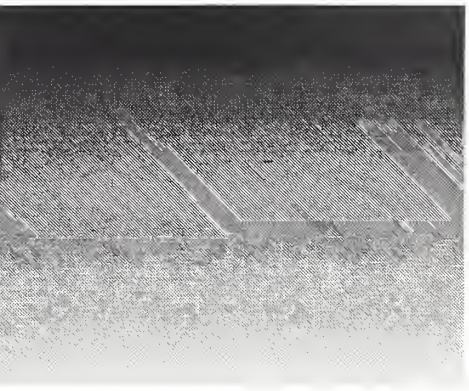
VISION — Results

- **Results:** Measure current reality against desired future state to maintain creative tension

"Current reality is not your enemy, but your foundation and starting point. It contains latent within it perfect structures, as the structure of an acorn has within itself the potential of becoming an oak tree. When you work within these structures rather than against them, you enable yourself to move along the path of least resistance toward the fulfillment of your purpose."

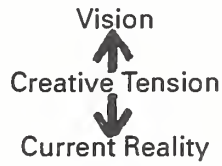
—Robert Fritz

The entire basis of the transformational effort begins and is fueled by willingness and capacity within the organization to tell itself the truth about its current reality. The development of the vision is based on an honest assessment of where the organization is in the present moment, and becomes the foundation for projecting toward a desired future state (i.e., vision).



What is a focus on Results?

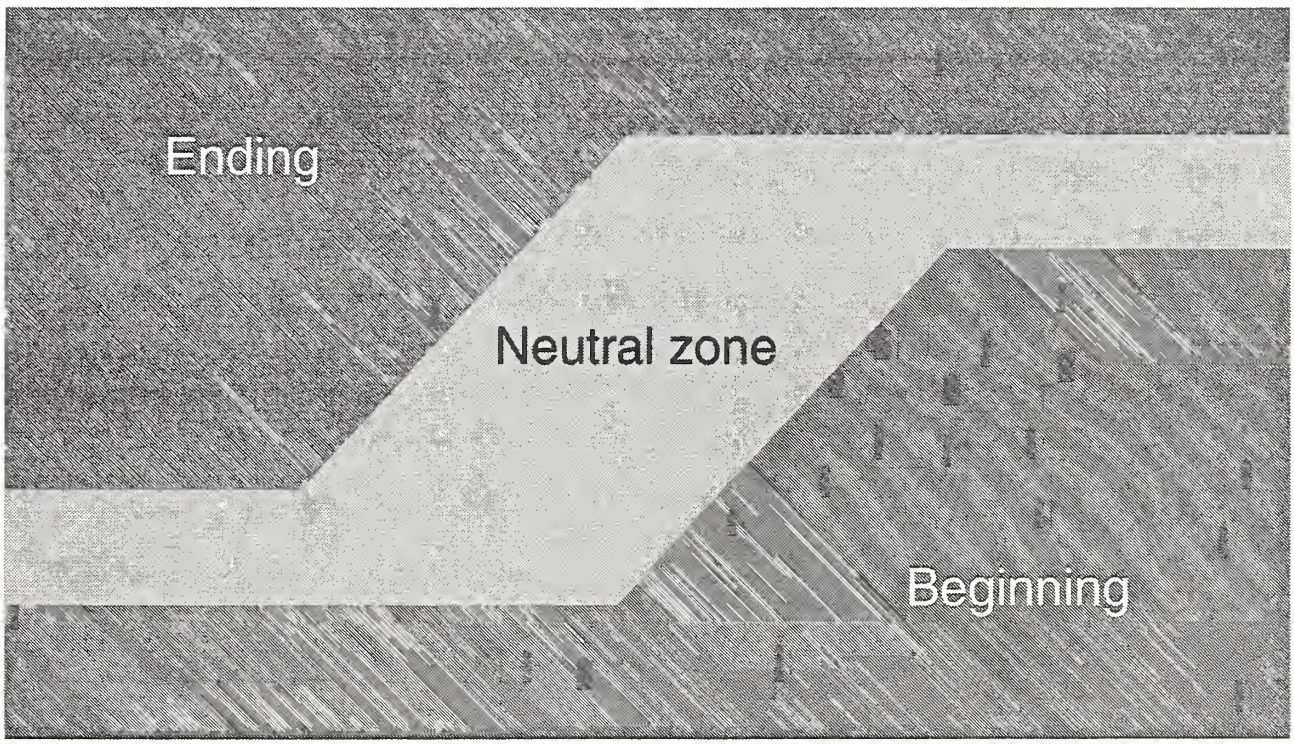
In an ongoing fashion, the organization must maintain a focus on its current reality as contrasted with the vision. The gap that is thereby identified creates a phenomenon, sometimes termed "creative tension", which actually fuels the organization's energy to close the gap by moving the current reality toward the vision.



How to Maintain a focus on Results?

- Begin visioning with an honest and full assessment of current reality so you know where you are starting from
- Have periodic review sessions to reflect on the vision progress against current reality
- Make progress visible through publicizing information about successes and failures in reaching toward the vision
- Allow the vision to evolve as you gather more information and experience
- Encourage a climate of truth-telling, so people feel free to share problems, concerns, as well as successes

Transition



After Letting Go
We Enter THE NEUTRAL ZONE

Otherwise known as:

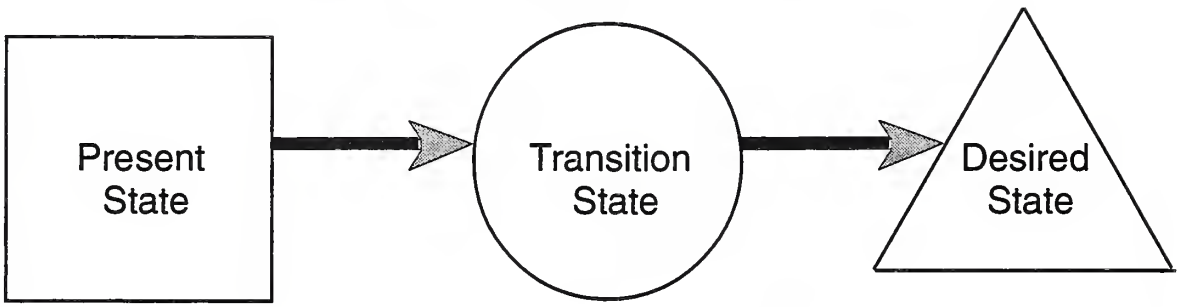
- full of nothing
- fertile void
- period of gestation
- germination

When Germination Is Successful, Up Springs A NEW BEGINNING

Characterized by:

- vision
- new forms, roles, structures, mission
- new energy

Change Is A Process Of Transition



Characteristics Of The Transition State:

- low stability;
- perceived high levels of inconsistency in the environment;
- high emotional stress;
- high, often undirected energy;
- control becomes a major issue;
- past patterns of behavior become highly valued;
- conflict increases.

Transitions Begin With ENDINGS

Letting Go Involves:

- shock/denial
- anger
- bargaining
- depression
- acceptance

The Transition

Organizational Transition

Change is situational. Transition is the psychological process of coming to terms with a new situation. It means letting go of something. What happens after the letting go?- The neutral zone- (The old way is gone and the new doesn't feel comfortable yet.) The gap between old and new is the time when innovation is most possible and when revitalization begins. Remember, change is dependant upon transition. The process of letting go is what people resist- not the change itself.

The psychological reorientation must happen in order for the change to work. People fear the loss of familiar turf, their sense of self-worth and sometimes their friends. They need a chance to grieve.

- Find out the reason for the change. Ask questions so you can see the problem first hand. (ex- A disgruntle customer)
- Talk to individuals. Ask what kinds of problems they are having with the change. (ex- Teaming, etc.)
- Bring losses out in the open. Acknowledge them and express your concern.
- Make sure you get accurate information.
- Think through each aspect of the change that's being implemented, ask what's over and what isn't.
- Take a piece of the past with you.
- Strengthen intragroup connections. Communications help to keep people feeling included in and connected to the organization.
- Newsletters - An effective way to keep in touch during a time when you feel confused or disconnected.
- Ask what the outcome will look like.
- Take risks and try new things without the fear of being chastised.

You can make the most of the situation while you are in "the neutral zone." You can work much of the necessary business out if you feel protected and encouraged. Make sure you are given the structures and opportunities you need to do it.

(Information provided by the book "Managing Transitions" by William Bridges)

"The Chinese word for "crisis" is composed of two picture-characters...the one meaning "danger" and the other meaning "opportunity."

"Standing alone as one person within an organization, you will have little impact on the work in which you exist. However, when several people work together, great things can be achieved."

Book- Stepping Up To Supervisor- Marion Hayes

VISION — Managing the Transition

Task:

1. You have _____ minutes to complete the following:

2. With the group at your table, discuss what you think will be the biggest demands in the transition in achieving the APHIS Vision.

3. Discuss how you might handle these demands.

APHIS SCIENCE LEADERSHIP CONFERENCE

Dr. Lonnie J. King
November 13, 1995
Riverdale, Maryland

Introduction

The chief executive officer of a West Coast company said recently of his organizational climate, our feeling is that this rapid, chaotic rate of change will continue forever and will continue to accelerate." Others refer to the adage, Managing in the "white water," suggesting that there are no calm waters in organizations today, only rapids to steer through. If you sense calm today, it is only because you are in the eye of the hurricane. How do organizations and people succeed in this environment? What do we need to do? What is an appropriate plan of action?

Managing Transitions

I submit to you that the success of our future success in this topsy-turvy world is one of leadership and our ability to manage change. Our challenge is to continue building APHIS into a competitive, adaptive, and competent public enterprise for the 21st century. Inherent in this challenge is our ability to mold ourselves during the most difficult time in our history. The shift today is from stability to turbulence; the "white water" rapids connote the demise of the comfort years of the past.

In his text Managing Transitions, author William Bridges says, "It isn't the changes that do you in, it's the transitions." Change and transitions are not the same. Change is a particular situation, and transitions is the psychological process people go through to come to terms with that situation. It is paradoxical, but true, that transition starts with an ending. Therefore, the starting point should not be the outcome, but rather the ending that propels us to move forward. Bridges describes transition as occurring in three phases-an ending, a neutral zone, and a beginning.

Transition is sequential. The second step is understanding what comes after letting go-the neutral zone. It is not so much that we are afraid of change or so in love with the old ways, but it is the place between that we fear. This is the limbo of the neutral zone-a time of discomfort and uncertainty between the old and the new. A time analogous to when the Peanut's's character, Linus, paces around while his blanket is in the dryer. While this can be a painful time with stress and ambiguity, it is also the time of greatest opportunity-when creativity, renewal, and development are heightened. When we get to this point, the true beginning can be launched. This is the phase where the future state or vision can be developed, and strategies and actions to move ahead can be planned and implemented.

Most organizations make a strategic error by starting with the beginning, rather than finishing with it. As Alfred North Whitehead said, "We think in generalities, but we live detail." APHIS people are no different than those -in other organizations. We are not in the market for solutions that threaten the status quo until we acknowledge there is a good reason for them. Thus, the solutions in this case our vision and corresponding mission-will not be well received until we really are convinced there is a significant problem or reason that compels us to "let go" and change into something different and new.

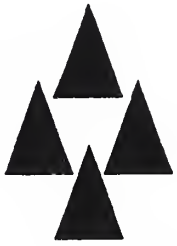
Essential Roles
When Implementing Change

NOTES:

Leader Roles

MODEL

- Demonstrates Desired Behavior
- Acts Like a Business Owner
- Balances Authority
- Values Diversity
- Demonstrates Flexibility
- Maintains Customer Orientation
- Pursues Personal Excellence



COACH

- Fosters Teamwork
- Provides Opportunities
- Manages Performance
- Provides Limits
- Influences Team Membership
- Inspires and Motivates

FACILITATOR

- Coordinates Resources
- Focuses Teams
- Helps Teams Make Decisions
- Helps Teams Manage Conflict
- Provides Suggestions

CHAMPION

- Knows the Mission
- Provides Understanding
- Provides Vision
- Aligns Goals
- Leads Courageously
- Protects and Insulates
- Encourages Innovation
- Challenges Status Quo
- Works Change
- Insists on Continuous Improvement
- Recognizes and Rewards
- Makes Tough Decisions

INTEGRATOR

- Achieves Unity of Effort
- Spans Boundaries
- Aligns Activities
- Builds Teamwork
- Optimizes Processes
- Allocates Resources

NOTES:

Support Staff Roles

CUSTOMER/SUPPLIER FOCUS

- Understands Customer
- Develops Quality Partnerships

TECHNICAL EXPERT

- Improves Expertise

CHANGE ADVOCATE

- Supports Systematic Renewal

STRATEGIST

- Knows Business
- Maintains Future Focus

TEAM PLAYER

- Fosters Teamwork
- Coaches and Develops

INTEGRATOR

- Facilitates Unity of Effort
- Spans Boundaries
- Aligns Activities

NOTES:

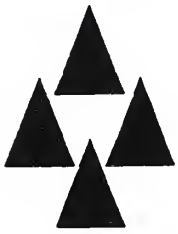
Team Member Roles

CUSTOMER/SUPPLIER FOCUS

- Understands Customer
- Develops Quality Partnerships

TEAM PLAYER

- Demonstrates Interpersonal Effectiveness



PROBLEM SOLVER

- Applies Tools and Techniques
- Improves Processes

PARTNER IN QUALITY

- Puts Total Quality In Everything

SKILLED PROFESSIONAL

- Applies Skills and Knowledge

TEAM TRAINER

- Transfers Knowledge

COMMUNICATOR

- Effectively Communicates To All

NOTES:

Change Agent Roles

OD PRACTITIONER

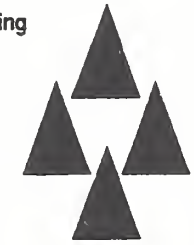
- Develops Road Map For Change
- Develops Consulting Contract

FACILITATOR

- Develops Common Understanding
- Provides Tools & Expertise

ROLE MODEL

- Demonstrates Interpersonal & Organizational Skills



SYSTEMS THINKER

- Assist in Viewing Interacting Parts
- Provides Another Perspective
- Builds Systems Models

PROCESS CONSULTANT

- Honest Broker for Change
- Eyes and Ears for the Champion
- Deals with Resistance
- Manages Group Dynamics

COACH

- Provides Feedback

COMPLEX CHANGE EXPERT

- Systems Science
- Behavioral Science
- Management Science
- Change Management

TRAINER

- Designs, Delivers & Manages

NOTES:

Parameters and Principles[1]

The following parameters and principles are guidelines for implementing the APHIS vision. The APHIS vision is part of a process for transforming the agency's culture. Culture can be defined as "those learned behaviors in an organization which are shared and passed on from one generation of employees to another."

In terms of culture, this transformation aims to create a more entrepreneurial, forward looking, flexible and cost effective organization, one which delivers desired results to our customers in a continuously improving way.

Parameters and principles should both be kept in mind when crafting strategies to move the organization through this cultural change. Parameters are those constraints which broadly shape the direction of our programs and the resources we receive as a Federal agency. Three key parameters include: (1) Congress' and the Administration's goals and policies, (2) commitment to reducing the cost and size of the Federal government, and (3) the changing nature of science, technology, and information. Thus, for example, strategies should assume that budget and staff reductions will continue throughout the coming years.

Principles, based upon core values, guide our interpretation of our mission, our use of resources, our relationships, and, most of all, our actions. Four of these values and principles involve: (1) customers, (2) leadership, (3) use of human and other resources, and (4) One APHIS.

These principles and parameters are not exhaustive (though it may have been exhausting to get them down on paper). The revised APHIS vision itself contains a longer list of elements, each of which can be thought of as a guiding principle. The synopsis on the following chart, however, reflects key principles and key constraints which should guide our proposed actions.

draft/rww/4-18-95

---

[1] These guidelines are based upon a series of discussions held by the APHIS Management Team. Written materials, prepared as background for those discussions, will be synthesized to further expand on these points.

Strategies for Implementing the APHIS vision should reflect the following Parameters and Principles:

Parameters			Core Values and Principles			
Congress and Administration's goals and policies	**Commitment to reducing the size and cost of the Federal Government**	**Role of Science, Technology and Information in the economy and society**	**One APHIS**	**Customers**	**Leadership**	**Use of Human and Other Resources**
As a Federal agency, APHIS receives its broad direction from the Congress and the Executive branch. These directions come from:	The Congress and the Executive branch are both committed to reducing the size and cost of the Federal Government. These reductions include the following:	Science and technology form the basis of our mission and programs. Trends in this area include:	We value and act to foster unity within APHIS. We mean unity in the following ways:	We value and act to provide outstanding service to our customers. In so doing, we	We value and act to foster shared leadership at all levels of the organization. This value embodies the principles of empowerment and team work.	We value our people. We leverage other resources with our people to solve problems and address opportunities. In so doing, we:
the Farm Bill and other legislative authorizations	declining federal funding for "discretionary" USDA programs, including APHIS	rapid change in scientific and technological fields, including information technology	a lean, simplified, and flexible administrative and support system	know our customers and recognize their diversity listen to customers	Leadership is: vision focused, results oriented, different from management (though some managers are leaders), expected and encouraged in all employees	develop financial tools, such as user fees, as an alternative to relying upon declining direct Federal funding
language in the annual appropriation process	reorganizing USDA and ongoing organization of MRP (APHIS, AMS, GIPSA)	rise in customer expectations and needs for rapid access to information	a set of units with permeable boundaries, linked by cross-cutting teams	define results by customers' needs and measure satisfaction	Leadership operates through individual and team initiative and responsibility	deliver services from an entrepreneurial perspective
legislative and executive directives	reducing supervisory, administrative and support positions	increase in cost and sophistication of laboratory equipment	an ability to draw upon the talent and skill from diverse and specialized work force to accomplish our tasks	work to produce results for customers	Leadership is results oriented in terms of the Agency's mission	invest in science and technology invest in continuous learning to produce continuous improvement
international treaties to which U.S. is signature	outsourcing services and programs to the State and private sector when it is more appropriate or cost effective	competitive international pressure to remain world class in science and technology	A variety of models, beyond the box charts, show the flexibility of the organization.	integrate service at the point of delivery.		
regulatory review and changing role of regulation	counting user-fee and cooperator-funded positions against APHIS personnel ceilings		We routinely form and reform teams to achieve results and meet customers' needs.			

Reinvention Advocates

NAME	DIVISION	LOCATION	PHONE #	FAX #
Barnes, Denise	FSO	Minneapolis, MN	612/370-2147	612/370-2083
Benning, Jim	FSO	Minneapolis, MN	612/370-2207	612/370-2295
Catt, Louise	FSO	Minneapolis, MN	612/370-2185	612/370-2073
Clay, Bill	ADC	Riverdale, MD	301/734-8281	301/734-5157
Coburn, Sue	CEAH/VS	Fort Collins, CO	303/490-7961	303/490-7999
Connor, Kevin	LPA	Riverdale, MD	301/734-5974	301/734-5221
Cooper, Julie	Detail/HRD	Riverdale, MD	301/734-5595	301/734-4984
Cope, Lance	RMSES/M & B	Riverdale, MD	301/734-8861	301/734-7439
Cummings, David	NAHMS	Ft. Collins, CO	303/490-7800	303/490-8099
Dabulis, Sonia	Detail/PPQ	Riverdale, MD	301/734-8206	301/734-7639
Ditweiller, Linda	VS	Trenton, NJ	609/259-8387	609/259-2477
Geary, Fred	MSD	Riverdale, MD	301/734-3780	301/734-4955
Gonzalez, Dimas	VS/NVSL	Ames, IA	515/239-8267	515/239-8397
Gradick, David	ITS	Riverdale, MD	301/734-5365	301/734-7965
Hawkins, Debbie	VS	PA	610/683-5142	610/683-5142
Hill, Rosann	HRO	Minneapolis, MN	612/370-2072	612/370-2082
Hoyle, Kit	HRD/M & B	Riverdale, MD	301/734-6486	301/734-4984
Kelly, Richard	RAD/PPD	Riverdale, MD	301/734-5455	301/734-5899
Kirby, Marshall	IS	Washington, DC	202/720-7021	202/690-1484
Kriesch, Penny	M & B	Riverdale, MD	301/734-5731	301/734-4984
Lewis, Ruth	R & D	Riverdale, MD	301/734-4880	301/734-4984
Lyons, Pam	FSO	Minneapolis, MN	612/370-2238	612/370-2295
Manning, Bill	PPQ	Miami, FL	305/526-7271	
McNaney, Rick	LPA	Riverdale, MD	301/734-7799	301/734-5221
Nanney, Leslie	ITS/ISCD	Riverdale, MD	301/734-5857	301/734-7965
Negrone, Mary	PPQ	Baltimore, MD	410/631-0075	410/631-0083
Parks, Jonathan	BAD/M & B	Riverdale, MD	301/734-5916	301/734-8064
Pearson, Jim	VS/NVSL	Ames, IA	515/239-8267	515/239-8397
Ring, Eva	PRAS/PPD	Riverdale, MD	301/734-3582	301/734-5899
Roberts, Natalie	PRAS/PPD	Riverdale, MD	301/734-8937	301/734-5899
Ross, Brian	ITS	Riverdale, MD	301/734-4423	301/734-7965
Schneider, John	M & B	Riverdale, MD	301/734-6658	301/734-4984
Schnurr, Renee	BBEP	Ames, IA	515/232-5785	515/232-7120
Siegfried, Lynne	NVSL	Ames, IA	515/239-8266	515/239-8397
Smith, Cindy	ADC	Washington, DC	202/720-2054	202/690-0053
Thornhill, Mary	FSO	Minneapolis, MN	612/370-2247	612/370-2073
Travieso, Charlotte	MSD/M & B	Riverdale, MD	301/734-6503	301/734-7828
Trickey, Kathy	Detail/HRD	Riverdale, MD	301/734-4957	301/734-4984
Tuck, Mike	ES/PPD	Riverdale, MD	301/734-5819	301/734-5899
Waters, Ken	ES	Riverdale, MD	301/734-8889	301/734-5899
Wright, Michael	PPQ	Gulfport, MS	601/863-1813	601/864-0448
Yurkovich, Mary	LPA	Riverdale, MD	301/734-7257	301/734-5205
Zakarka, Chris	R & D/ITS	Riverdale, MD	301/734-6686	301/734-4938
Zybach, Bill	OD/M & B	Riverdale, MD	301/734-8299	301/734-4984

REINVENTION ADVOCATES ANNOUNCE NEW "IMPORT/EXPORT" STRATEGY

Our original seven reinvention labs have been in effect for about a year and a half now. The intent in establishing these labs was to experiment with ways to help APHIS work better and smarter and be more efficient in terms of saving money. Last November, at the first APHIS Reinvention Forum in Minneapolis, reinvention laboratories shared their goals and their progress to date. Their stories were inspirational to all attendees of the forum. APHIS renewed its commitment to reinvention at this forum and APHIS' senior management agreed that we would revisit our progress in reinventing in six months. ***That time is now!***

Recently, through two major planning events (Vision Conference and Strategies Conference), APHIS has articulated a vision, its mission, and overall strategies which APHIS will employ to achieve its vision. Our reinvention labs need to re-visit their original goals and ensure that they are aligned with the mission and the newly developed vision. To do this, labs will have to involve customers, stakeholders, and internal employees in providing input and continual feedback on ways that they feel the agency can best meet their needs and achieve its vision. In addition, labs need to evaluate the progress of their reinvention experiments and determine which approaches are working and what further positive changes could be made. In some cases, further support may be necessary to help address the particular needs of reinvention labs at this time. Labs need to specify what support is needed.

A network of APHIS "Reinvention Advocates" has been formed and continues to grow. The network consists of people throughout the agency who have experience, skills, and knowledge that could help others in the Agency remove barriers to change. These Advocates are also knowledgeable about resources outside of APHIS, including others in the broader government community from whom we can learn and with whom we can share our experiences with culture change.

The Reinvention Advocates have recently developed a strategy of support for change management and continuous learning." This strategy, which the Advocates are calling the "Import/Export" strategy, will work as follows:

- A diagnostic survey has been developed (attached). As a pilot, the first distribution of this survey will be limited to the original reinvention labs and newly created reinvention efforts in APHIS (e.g. the ITS reinvention effort and the Conflict Resolution reinvention effort). Those involved in these experimental labs will be asked to complete the survey, indicating areas of expertise that they would like "imported" to their lab sites to assist them in meeting their goals and removing barriers.

Reinvention Advocates will evaluate the responses and decide on the best source of support to be provided to the site. Hopefully, reinvention advocates themselves will be able to help; if not, they will identify others, inside or outside of APHIS, who could help meet the needs of the labs.

- Once at the reinvention site to provide assistance, the Advocates will also attempt to learn more about the successful approaches which have been employed at the site to achieve the goals of the National Performance Review and reinvention. Particular focus will be on tools, techniques and behaviors which are exemplary and successful in terms of moving APHIS toward achieving its vision. Advocates will "export" this information to other parts of the organization in two key ways:

  1) By sharing the information themselves (personally and through newly established "Reinvention" bulletin boards and networks); or

  2) By asking those at the site to take the lead to host a "Reinvention" learning event at their site which can be attended by others throughout APHIS. Funds are available for those willing to host such learning events.

Those who are involved in reinvention labs can be key resources for others in APHIS who are trying to focus on customers and move to new leadership models. Answers to questions such as "What motivates people to be creative and to develop new ways to delight their customers?" can often be found in the reinvention labs. Through the "Import/Export" approach, a lab can both receive the specific support they need and at the same time serve as a model of innovation for others throughout APHIS who are trying to achieve their goals in support of the vision.

IMPORT/EXPORT STRATEGY SURVEY

Part I. Areas of Expertise

Members of the Reinvention Advocates have identified areas of expertise that may be useful to assist your reinvention lab to achieve its goals and objectives. Please indicate areas your reinvention lab would like assistance in by checking the appropriate blank.

_____ 1) Planning – Assistance in overall planning to help your reinvention lab develop or refocus goals, objectives, and direction. Assistance in getting aligned with the mission and newly developed vision. Determining and obtaining appropriate resources for priorities.

_____ 2) Evaluation – Performance Measurement – Assistance in determining, through use of performance measurement techniques, benchmarking, etc. how well your reinvention lab is meeting its objectives.

_____ 3) Evaluation – Customer Feedback – Assistance in identifying customer expectations through the use of Customer Service Surveys. Help with developing and analyzing those surveys to determine if your reinvention lab is meeting customer expectations.

_____ 4) Process Re-engineering – Assistance in identifying customer needs and looking at all steps in an identified process to determine ways to make improvements.

_____ 5) Team Building – Assistance in helping to improve your reinvention lab operation through use of team building techniques.

_____ 6) Delegation of Authorities – Assistance in obtaining authorities, identification of further training/information needs with respect to authorities you have already received, and help in identifying authorities which could be delegated to others by your site. (personnel, procurement, etc...)

_____ 7) Human Resource Management – Assistance pertaining to issues involving hiring, promoting, rewarding or managing people for the right behavior. Labor/Management issues.

_____ 8) Cooperative Agreements – Assistance in developing cooperative agreements and help with streamlining or "reinventing" the cooperative agreement process to eliminate unnecessary oversight and/or steps in the process.

_____ 9) Technology – Automation – Assistance in improving automation capability required by your reinvention lab.

_____ 10) Communication – Assistance in improving communication capability of your reinvention lab in order to more effectively reach customers, stakeholders, and APHIS employees and others who can support or learn from your efforts.

_____ 11) Management – Issues pertaining to enhancing management commitment and involvement to the success of your reinvention lab.

_____ 12) Training – Assistance in obtaining training required by your reinvention lab to meet its goals and objectives.

_____ 13) Forming New Partnerships – Assistance in involving other "non traditional" parties in achieving your goals.

_____ 14) Regulatory Relief – Assistance in helping to identify options and obtain authorities to gain relief from regulatory constraints which affect your reinvention lab.

_____ 15) Other – Indicate any other type of assistance your reinvention lab needs to meet its goals and objectives._____

Part II. Areas of Experience Willing to Share With Other Reinvention Labs

Please identify whether you have experience, knowledge or skills that have been developed within your reinvention lab that you would be willing to share with other labs. Please mark each category that applies and give the name of the person best suited to assist other reinvention labs in the area selected.

	Name	***Number***
_____ 1) Planning	_____	_____
_____ 2) Evaluation – Performance Measurement	_____	_____
_____ 3) Evaluation – Customer Feedback	_____	_____
_____ 4) Process Re-engineering	_____	_____
_____ 5) Team Building	_____	_____
_____ 6) Delegation of Authorities	_____	_____
_____ 7) Human Resource Management	_____	_____
_____ 8) Cooperative Agreements	_____	_____
_____ 9) Technology – Automation	_____	_____
_____ 10) Communication	_____	_____
_____ 11) Management Issues	_____	_____
_____ 12) Training	_____	_____
_____ 13) Forming New Partnerships	_____	_____
_____ 14) Regulatory Relief	_____	_____
_____ 15) Other – _____	_____	_____

Glossary of Key Definitions

Continual learning—The individual and organizational recognition of the need to constantly look for better ways to accomplish the tasks at hand. This attitude includes a commitment at all levels to obtain skills or abilities through traditional and nontraditional experiences, including assignments, training, developmental opportunities, volunteer programs, and online sharing of information and expertise. Continual learning is a mutual responsibility of the employee, supervisor, program, and agency.

Empowerment—Creating a clear understanding of where the organization is headed (vision), its basic purpose (mission), the norms of operation (culture), and the key approaches it will take to accomplish the mission and achieve the vision (strategies). Creating this understanding is done by involving and engaging all members in the creation, refinement, or implementation. It also involves encouraging employees to take initiative in responding to agency needs within the boundaries identified by the organization, e.g., resources, the law, customers, strategic trends, etc. Empowerment involves trusting employees based on demonstrated experience, knowledge, and judgment. It provides people at all levels, particularly the frontline, the skills and knowledge necessary to make and implement decisions consistent with the organizational direction, to accept the authority for which they are accountable, and the resources needed to effectively and efficiently carry out their responsibilities.

Shared leadership—Moving from a top-down, control and command, hierarchical organizational structure to one in which decision making is shared. The people in traditional leadership roles engage the organization and then set clear direction. When the direction is set, all members of the organization share leadership in implementing strategies, in carrying out the mission, and in achieving the vision. Each individual is involved in decision making that impacts their roles and responsibilities. Everyone is encouraged to take the initiative to make things better by playing an active role in solving organizational problems and creating new opportunities.

Team-based organization—Organizing and accomplishing work through the use of groups of employees brought together because of their skills, not because of their positions or titles. By more fully engaging everyone in the organization, teams help increase the quality of work, increase speed, improve cost effectiveness, and take advantage of innovation. Moving to a team-based organization changes the hierarchy or organizational structure so that it is not a barrier to sharing information; so that those who need information for decision making get it when they need it; it means that people share resources across organizational boundaries to solve common problems or take advantage of common opportunities; it means continually training and retraining people for changing roles and demands. This type of structure contrasts with strictly hierarchical organizations in which employees see those above them as the customer, rather than those who receive the product or service. In a team-based organization, team members cooperatively and actively work together, share ideas, resources, and information.

Suggested Reading List

Adult Learner, The, Knowles, Malcolm.

Changing the Essence, Beckhard, Richard and Pritchard, Wendy, 1992.

Fifth Discipline, The, Senge, Peter M.

Fifth Discipline Fieldbook, The: Strategies and Tools for Building a Learning Organization, Senge, Peter et. al., 1994.

Job Shift, Bridges, William , 1995.

Managing Transitions: Making the Most of Change, Bridges, William. Reading, Mass: Addison-Wesley, 1991.

Path of Least Resistance, Robert Fritz, 1984

Productive Workplaces, Marvin Weisbord, 1991

Riding the Wave: Designing Your Organization's Architecture for Enduring Success, Merron. Keith. New York: Van Nostrand Reinhold, 1995.

Stewardship, Block, Peter, 1994.

Teaching the Elephant to Dance, Belasco, James. New York: Crown Publishing, Inc., 1990.

Wisdom of Teams, The, Katzenbach, Jon and Smith, Douglas , 1993.

Why Change Efforts Fail, John Kotter, Harvard Business Review, March-April 1995

CUSTOMER SERVICE STRATEGY
ACTION PLAN

GOALS

1. To prepare employees to provide excellent customer service and deliver the results customers care about through continual learning, empowerment, evaluation, and development of partnerships.
2. To give employees the support and tools they need to understand, refine, and deliver better customer service (program results).
3. To enhance continual improvement by involving customers in defining program goals and measures, collecting data and measuring/monitoring program effectiveness (results), basing program planning decisions on these data, and communicating them to customers.

OUTCOME EXPECTED

APHIS Customers will be served better because employees provide better customer service (program results). Employees will be: listening to what customers want and expect, acting on that knowledge to improve the program of services, and learning from others who are serving similar groups of customers in similar ways.

INDICATORS OF SUCCESS

Each APHIS program will have established a baseline for customer service, be regularly surveying its customers (monitoring program results), planning and implementing improvements based on the results information, and communicating results to customers.

The overall satisfaction level of APHIS customers will be high for all programs and services.

FACTORS THAT WILL HELP:

- A cultural change is taking place in the outside world.
- Customer Service Planning is required by E.O 12862, results monitoring & reporting is required by GPRA.
- USDA and APHIS committees have been established and several units have already started.
- Other APHIS initiatives (Team-based Organization) also require skills in Customer Service.
- FSO's experience can show others.

FACTORS THAT WILL HINDER:

- Getting people to apply the concepts in a regulatory context is difficult.
- Insecurity over job future and the sheer number of change initiatives, makes people unwilling to spend effort on this.
- People are not convinced it is important.
- There is skepticism about change in APHIS because of past initiatives that weren't implemented.
- We have many diverse, scattered employees and lack a single way to communicate with them all.

HELPING FACTORS (Cont.)

- The need to survive in a competitive world makes this strategy important.
- The flexibility in the Customer Service philosophy lets programs build their own standards so they can "own" them.
- The APHIS Vision has this as a central element.
- It makes sense, "Common Sense."
- The flexible regulatory environment we have now supports it more than in the past.

HINDERING FACTORS (Cont.)

- A budget, organization, planning, and training is needed.
- Our diverse customers have conflicting needs and wants and we can't take care of them all at once, if at all.
- The Administration is facing an election with potential for a change in direction.
- There is a natural tendency for people to deal with the friendliest customers first, putting off difficult ones.

ACTIONS THAT ARE SUPPORTED BY THESE FACTORS:

Our proactive approach to integrating Customer Service philosophy throughout APHIS takes advantage of these helping factors.

ACTIONS TO TAKE TO MINIMIZE THESE FACTORS:

Our strategy of phasing things in, building support among middle managers, and rewarding cooperation will help us overcome these factors. We are linked with other Agenda strategies which focus on customers.

KEY TASKS	**RESPONSIBILITY/TIMING/RESOURCES**
1. Develop definitions of terms used in customer service philosophy to provide a framework for common understanding: Customer, Constituents, Stakeholders	The APHIS Customer Service Working Group (ACSWG) has submitted a draft to the Customer Service Strategy Team (CSST) and the Achieving the Vision Team for the Vision Toolbook.
2. Expand definitions of terms to include those used in results monitoring/measurement.	PPD in conjunction with the CSST by Feb. 1996
3. Develop tools and a strategy/procedure to integrate customer service and results monitoring into program decisionmaking. Base these tools on the experience of the AQI Monitoring Pilot.	PPD in conjunction with ACSWG, the Budget and Accounting Division (BAD), the AQI Program Results Monitoring Team, and the CSST by Feb. 1996
4. Apply these tools and strategies with special focus to one new line item program in each major functional area in the Multiyear Program Planning and Budgeting process and to other parts of the agency as they become ready and request assistance.	PPD will provide consultation to programs, in collaboration with BAD. AMT members will support implementation following the annual budget schedule published by BAD.

KEY TASKS (Cont.)	RESPONSIBILITY/TIMING/RESOURCES
Participating programs will bring customers and front line employees into the planning process to help define program goals and measures, design and implement automated data collection/storage systems, survey customers, measure program effectiveness, identify and execute program improvements, and communicate the results in customer service brochures and Multiyear Plans. Programs representatives will visit each other and learn what works and what doesn't work. Front line employees who have listened to customers and identified needed improvements, but lack funds to make them may apply for small purchase funds.	A total of $35,000 for FY '96 is requested for programs and front line employees who participate. The CSST will receive applications and disburse funds and will have discretion to grant funds to groups that participate in developing and implementing the customer service GPRA results monitoring philosophy, demonstrate a funding need, and show they will further the agency's use of customer information in planning and improving customer relations. Automation of data collection/storage systems for results will require support from the Science and Technology Strategy. Based on program requests, funds may be used for Item 6.
5. Design and develop materials and workshops for orienting APHIS field program managers on the customer service results monitoring philosophy and strategies. Participate in electronic discussions and other forums, contributing ideas on how to support field employees' customer service efforts.	PPD, the ACSWG, and the Customer Service Strategy Team in cooperation with the Achieving the Vision Team and the Team-based Organization Team and others. Ongoing.
6. Assist in making improvements such as 1-800 numbers for customers to make complaints and suggestions or get information, AND handouts and feedback cards for front-line employees to give to customers. Assist programs in conducting projects such as the Reengineering Primary Passenger Processing and the Import Strategic Process Redesign.	PPD, the ACSWG, and various program delivery units. A budget of $10,000 is requested in FY '96 for programs to make improvements in customer service such as installing 1-800 numbers, printing handouts for customers, and so on. It would be dispersed by the CSST as are funds under Item 4 and will serve as an incentive to supplement programs' own spending plans.
7. Evaluate tools and approaches developed during FY 96 and plan improvements for FY 97. Make improvements in tools and approaches.	PPD Planning, Evaluation, and Monitoring in conjunction with BAD, the 6 line items selected above, and the CSST. November, 1996
8. Expand the number of programs doing customer service results monitoring and reporting. Build on the experience of the previous year's pilots.	PPD's Planning, Evaluation, and Monitoring (PEM) and BAD will provide consultation to programs. AMT members will support implementation following the annual budget schedule published by BAD.

Global Interests
Action Plan
December 11, 1995

BACKGROUND AND OVERVIEW OF STRATEGY

Rationale for this strategy

The demands facing APHIS have changed dramatically in the post-GATT era. The volume and complexity of trade and the associated workload is increasing. APHIS has a clear and compelling interest to take steps that will ensure safety and growth in world agriculture trade. As traditional trade distorting practices such as tariffs and quotas are eliminated under WTO and other agreements, the temptation will increase for countries to adopt health-related requirements as disguised barriers to trade. These conditions increase the need for APHIS to assertively exercise its role as the leader in setting and enforcing SPS policy in USDA. A USDA study estimates that the total value of U.S. agricultural trade which is constrained by technical barriers is approximately $4.7 billion. Clearly, significant opportunities for expanding U.S. agricultural trade depend on USDA's ability to challenge and overcome these obstacles that have an insufficient SPS basis.

Additionally, USDA has made a commitment to double U.S. exports by the year 2000 and to resolve the SPS issues that inhibit our doing so.

To address these demands, the APHIS vision includes an element on global interests: "APHIS facilitates trade, technology transfer, and movement of international passengers and commodities. We develop biologically sound pest and disease exclusion programs and promote international standards and globally recognized certification systems. We anticipate worldwide trends and develop strategic trade policies that promote U.S. economic advantage in the global marketplace."

Objectives

This emphasis of this strategy is to provide protection to U.S. Agriculture while, at the same time, facilitating fair and safe agricultural trade. (Attached is a document produced by the Foundation Building Group that serves as further background on the role APHIS leaders envision for the Agency in international trade.)

These two objectives -- achieving the necessary protection for U.S. agriculture and maximizing agricultural trade opportunities -- are compatible as long as our regulatory action is based on an assessment of the risks using the best scientific information available, transparent, and mindful of the "golden rule of trade." The "golden rule of trade" means that the standards we impose on imports into the U.S. are consistent with the treatment we expect for U.S. exports.

What Will Be Changing and Not Changing?

Our commitment to protecting U.S. agriculture will not be compromised or diminished. Nor is a reorganization of APHIS' programs planned or envisioned. However, the future health of U.S. agriculture in a competitive global economy relies not only on protection from exotic pests but also on the maintenance of a stable and predictable international trading system where agricultural commodities can compete on an even playing field. APHIS will need to be "globalist" in its approach to managing import and export issues.

Being globalist means bearing in mind that our decisions and actions have international reverberations and consequences and that these factors need to be considered as we develop strategies for managing import and export issues. Our orientation will have to shift from a singular focus on protection to a more flexible and broader view of facilitating trade, based on science, innovation, and internationally accepted standards. APHIS staffs must be aware of our obligations and opportunities under WTO and seek consistency in our regulatory actions. These changes do not demand that we lessen our goal of protecting U.S. agricultural resources, but rather make demands on how we regulate trade. These demands will require that APHIS obtain the necessary intercultural, teamwork, and negotiation skills.

The criteria for making decisions will have to be comprehensive and transparent; including scientific, policy, environmental, and other information appropriate for strategic decision-making. Staffs will be expected to utilize the best information regarding the risks of a commodity and provide a range of options for managing these risks. Decision makers will include people with diverse disciplines coming from different units, and decision-making will be based on the concept of shared leadership.

APHIS will provide services on an as needed basis and will rely on partnerships with the end-beneficiaries to carry out such services. We will take a flexible and strategic view to providing services to non-traditional constituencies who may need APHIS technical expertise. We will move from a narrow view of defining our constituencies to a broader view which recognizes other consumers and trade partners as rightful APHIS customers.

Finally, APHIS will reward those who put into practice innovative and strategic solutions to problems; solve complex problems through team approaches, shared leadership, valuing diversity, and partnering with external entities; and provide comprehensive and balanced strategies for decision-making.

STRATEGY ACTION PLAN

Vision Element

"APHIS facilitates trade, technology transfer, and movement of international passengers and commodities. We develop biologically sound pest and disease exclusion programs and promote international standards and globally recognized certification systems. We anticipate worldwide trends and develop strategic trade policies that promote U.S. economic advantage in the global marketplace."

Goals and Indicators of Success

Goal #1: The global interests vision will be communicated widely so that collective interpretation and action can occur.

Indicator of success:

- Increase in the level of understanding and application of global interests vision element among APHIS employees.

Goal #2: APHIS employees will reach a high level of awareness of and ability to apply the principles of the WTO SPS agreement (e.g., risk assessment, notification, regionalization, equivalency, etc.) in order to seize new trade opportunities.

Indicator of success:

- Increase in the level of awareness of and ability to apply the principles of the WTO SPS agreement among APHIS employees, stakeholders, and international trading partners.

Goal #3: APHIS employees will work collaboratively with stakeholders and trading partners to share responsibilities and effectively utilize financial and intellectual resources.

Indicators of success:

- Increase in the extent to which APHIS employees work collaboratively with stakeholders and international trading partners in shaping international standards and technology transfer.
- Increase in stakeholder satisfaction with their involvement in processes.
- Increase in the degree to which other agencies actively seek out APHIS opinion and

participation in activities/decisions affecting international trade.

Goal #4: APHIS staffs will strategically manage increasing workloads associated with trade. Supportive policies, systems, and processes will be in place to facilitate safe trade while protecting American agriculture.

Indicators of success:

- Increase in the number of APHIS staffs working in a team-based, multi-disciplinary environment, sharing leadership to strategically manage the increasing workloads associated with trade, including technical trade negotiations. The number of cases where Agency decisions and actions are derived from the work of such teams will indicate some measure of success.

- Increase in the number and consistency of APHIS internal processes for ensuring effective U.S. participation in international standard-setting activities.

- Increase in the number and consistency of APHIS supportive processes (e.g., risk assessment methods) in place to facilitate achievement of APHIS' global agenda.

- Increase in the number and quality of regulatory and trade decisions made on the basis of information which reflects multiple perspectives and provides a range of innovative options.

Goal #5: APHIS will ensure effective U.S. influence in international standard-setting activities.

Indicators of success:

- Increase in the number and quality of U.S.-acceptable IPPC/NAPPO/OIE standards as U.S. positions are accepted at international standard-setting organizations.

- Increase in the degree of APHIS employee participation in international organizations.

How Measured:

Measurement of the above indicators of success will occur via:

- assessment of employee knowledge, skills, performance (various instruments)
- surveys of customers/stakeholders
- case studies through which positive and negative outcomes of SPS issues can be attributed to the global interest strategy

Force Field Analysis

Factors that will help	Factors that will hinder:
- It is part of the APHIS vision - The ideas are not entirely new - Leadership is committed - Team-based approach appeals to many. - BPR groups are in place, including a cross-unit risk analysis group - World-Wired APHIS and other information technology efforts are facilitating communication between and among APHIS employees and partners - International organizations are working at a quick pace which encourages APHIS to take leadership to stay ahead - Capability of APHIS employees - Enormous opportunity exists within the global arena for APHIS to lead by example - Current Administration initiatives include emphasis on facilitating trade - Through valuing diversity, changing behaviors and attitudes are being demonstrated by APHIS employees in intercultural settings	- Two trade paradigms exist in APHIS - Lack of clarity among employees regarding direction APHIS is taking - Potential opposition of some industries - Compartmentalization of staffs, i.e., sharing of information, collectively interpreting, and acting upon it is not yet seen as productive or efficient - Ability to produce timely risk assessments and having the resources for them (11-44 year backlog) - Information technology is not yet available/accessible for all so disseminating information about the organization's changes and linking remote locations is not yet achieved - Systems are not aligned to reward "global thinking" - Lack of clarity regarding APHIS' role in the USDA's trade policy. - Lack of understanding and support for APHIS vision by State Department

Actions to take to support these factors:	Actions to take to minimize these factors:
- Fold in other groups	- Clarify direction and goals to staffs - Educate/communicate to APHIS staffs, stakeholders, and trading partners this piece of the APHIS vision - Ask LPA to assist with a new slogan - from "Protecting American Agriculture" to something like "Facilitating Safe Agricultural Trade - Establish templates for the practical application of risk assessment in the daily import/export decisions - Clearly communicate APHIS' vision and accomplishments within USDA, State Department, stakeholders and trade partners

Goal	Key Tasks	Resources Needed	Responsible Party	Date Due
1	1. Local vision launch efforts and workshops (week of January 22)	Can be done within existing resources.	GIG champions and strategy team, leadership teams, support from organization for broad involvement and participation.	Started and on-going
1	2. Develop communication tools (such as overheads) specifically in support of this vision element to use at activity area leadership team meetings and disseminate outward through regional and other team meetings	LPA support, $1,000	Project manager and content experts. Coordinate with Anna Cherry, Melanie Nicol, and Van Nguyen.	February 1996
1	3. Publicize successes in the global interests area to encourage APHIS employees to think and act globally.	Internet, newsgroups, Technical Trade Report, Inside APHIS, other pubs.	GIG champions nad strategy team members; follow-up by Project managers and change agent.	Ongoing

Goal	Key Tasks	Resources Needed	Responsible Party	Date Due
4	4. Ensure development and implementation of agency-wide process for risk analysis and other related objectives (attached)	Can be done within existing resources.	OS Directors of PPQ, VS, IS with Risk/Trade Advisory Group	Beginning 11/21/95 and ongoing for 6 months when agency-wide process is established
4	5. Design and implement improved processes which support the goals of the Global Interests Group. These initiatives include Import Processes, Export Process, and Managing SPS Issues.	Can be done within existing resources.	OS Directors of PPQ, VS, IS	By July 15, 1996, the 5 spin-off teams will have redesigned their processes

Goal	Key Tasks	Resources Needed	Responsible Party	Date Due
3	6. Establish a vehicle for strengthening Partnerships in Global Agriculture. (See attached proposal)	- Core group of 8-10 people on a full-time 120-day detail; - Support from an influential leadership group; - Freedom to travel and be flexible to changes in plans; - Linkage with Animal Health Systems Program - $80,000 in start up monies from the Administrator's Innovation Fund to cover non-salary costs	Core group (once approved by Administrator) as shown on proposal	Beginning January 1996; action plan due May 1996
5	7. Participate actively in placement of individuals whose positions APHIS can suppport.	Done within existing resources	IS takes lead in partnership with other activity areas	Ongoing

Goal	Key Tasks	Resources Needed	Responsible Party	Date Due
1-5	8. Establish a forum/forums eg., APHIS rade summit, to define APHIS' trade strategy and priorities.	Can be done within existing resources.	Trade Support Team	Proposal by the end of January, 1996.
1-4	9. Establish APHIS-wide international connectivity via information technology.			April 1996

Goal	Key Tasks	Resources Needed	Responsible Party	Date Due
1,3,4	10. Continue Intercultural Communication and Negotiation courses; expand to include new priority areas, e.g., Eastern Europe.	$25,000 to contract E. Europe course; travel funds for participants.	OPD	Ongoing; E. Europe course to be conducted by third quarter FY96.
2-4	11. a). Establish a vehicle for delivering on a pilot basis the Animal Health Systems Analysis Program as an opportunity to share and diffuse information on North American technology, infrastructure and risk analysis methods and standards. (See attached proposal)	Initial investment of $30,000 to be reimbursed through reimbursable/user fee agreements. Investment covers program design costs, technology use, facilitator travel and marketing.	GIG and OPD; Trade Support Team	
2,3	11. b). Continue Plant Quarantine Systems Analysis Program	Can be done within existing resources.	OPD	Started and ongoing

Goal	Key Tasks	Resources Needed	Responsible Party	Date Due
2,3	12. Conduct workshops (e.g. GATT/NAFTA I and II) on WTO/SPS with APHIS employees, stakeholders and trading partners, introducing various levels of complexity of SPS concepts and their applications.	Travel costs of participants; satellite connections. Use APHIS expertise in comjunction with resouces from other agencies, eg. AID to the extent they're available.	OPD	Started and ongoing
3,4	13. Ensure APHIS is an active partner with agencies such as ERS and FAS in collecting and disseminating world trade information.	Can be done within existing resources	Trade Support Team	Started and ongoing

Goal	Key Tasks	Resources Needed	Responsible Party	Date Due
5	14. Create an effective system for cultivating and maintaining relationships with foreign visitors and delegations. Change mindset of Agency to recognize the importance of ongoing relationships with foreign visitors/delegations/ governments	Can be done within existing resources.	Donna West, Bonnie King, Stan Cornelius, Althaea Langston	June 1996

Strategy Action Plan
on
Environmental Responsibility

This strategy action plan on environmental responsibility reflects APHIS' Vision for environmental stewardship—a vision element (where we expect to be) and a change agenda element (how we will get there):

Vision Element (Environment)

APHIS is a steward of the environment. Our programs protect and enhance ecosystems. While carrying out our programs, we assess their impacts on the environment.

Change Agenda Element (Environmental Responsibility)

Develop and implement systems that assure environmentally sound decisionmaking by creating an agency culture[1] that encourages all employees to exercise environmental responsibility.

Planning assumptions:

An assumption behind this plan is that these goals are already being met in certain units and in specific programs. The intent is to expand upon this foundation and build from these experiences through learning, improved communication, and education.
A second assumption is that these goals will result in tangible outcomes for APHIS programs—outcomes which will have a positive effect upon the environment, our customers, and the American public.

Whether employees are aware of it or not, these goals, even though they have not been formally stated, have been central to APHIS' operation and management for years. Formalization of these goals will encourage APHIS employees and the programs for which they work to focus more clearly on environmental responsibility. An emphasis on employee awareness and focus will energize and truly make environmental responsibility a cornerstone for conducting all APHIS operations.

[1] This is the statement from APHIS' Vision document, with a change from ". . . Agency environment . . ." to ". . . Agency culture . . ."

Goal Statement

1. APHIS programs protect and manage components of ecosystems.[2]

APHIS programs will protect ecosystems from the entry and establishment of nonnative pest species, and manage components of ecosystems that have been degraded by pests and diseases. Methods and tools that meet program objectives while contributing to the protection and enhancement of ecosystems are sought and used, as called for in the Scientific and Information Technology Change Agenda Item. This goal has been central to APHIS activities for a long time. The agency has experienced a considerable degree of success through its activities in interception of pests and diseases, exclusion of diseases and parasites, habitat management and management of wild herbivores and predators, and pest management. Work toward achieving this goal must continue and should be greeted with renewed enthusiasm.

Some Indicators of Success:

- Interception of nonnative pests and diseases at borders.
- Management or elimination of populations of native or nonnative pests or diseases (e.g., eradication of screwworm and cattle fever ticks).
- Assistance in habitat management, such as managing populations of wild herbivores or predators that are damaging components of the ecosystem (e.g., reduction in animal damage due to deer).
- Seek, acquire, use, and encourage program methods and tools that are less disruptive to ecosystems (e.g., experimental testing of Suredye as an alternative to malathion bait spray; using biocontrol to treat cereal leaf beetle, citrus blackfly, and Russian wheat aphid; and using sterile insect technique in screwworm and fruitfly programs).

[2] An ecosystem is a relatively discrete ecological system defined by its biotic and abiotic components (e.g., animals, plants, and their habitats) and their interactions with one another. Ecosystems can be defined quite broadly, as in the coniferous forest ecosystem of North America, or quite narrowly, as in the freshwater aquatic ecosystem in a desert pothole. The definition is often refined depending on the purpose.

- Exclusion of pests, internal and external parasites, and diseases, such as foot and mouth disease, (e.g., development of importation regulations that define regionalization criteria for restricted nonnative parasites and diseases based on science and use of risk assessment techniques, and development of importation regulations for Siberian logs).

2. Program actions reduce negative impacts on the environment.

The goals and activities of APHIS programs are consistent with governmental policy and the intent of environmental statutes. Programs promote efforts to prevent or eliminate damage to the environment; conserve threatened and endangered species and their critical habitats; reduce the release of toxic chemicals; emphasize the prevention of pollution and the appropriate disposal of hazardous materials and safe handling of pesticides, fungicides, and rodenticides; ensure that no human population suffers disproportionately from the negative effects of environmental pollution or other hazards, and that those populations that may be affected are included in the planning process.

Some Indicators of Success:

- Consideration of the potential for environmental impacts during early planning stages of a program so that mitigation measures can be developed and implemented.
- Objective, scientific analysis and disclosure of program impacts on the environment through preparation of environmental impact statements, environmental assessments, and risk assessments (e.g., ADC, PPQ, VS, and BBEP environmental documents).
- Conservation of threatened and endangered species and their habitats through consultation with the U.S. Fish and Wildlife Service (and/or National Marine Fisheries Service) and preparation of biological assessments, and through program activities that enhance the populations and/or ecosystems of threatened and

endangered species (e.g., reduction in deer and woodchuck damage to wild lupine in habitat of the endangered Karner blue butterfly).

- Reduction of the release of toxic or hazardous materials (e.g., safer disposal of pesticides used in the tick and animal import programs of Veterinary Services through a bioremediation process).

3. All APHIS employees carry out their work in a manner that reflects an environmental ethic that respects and conserves resources.

APHIS promotes activities that illustrate and communicate the agency's environmental ethic. APHIS employees take positive steps to minimize consumption of renewable and nonrenewable resources. APHIS will advocate effective methodologies that use the least hazardous materials and produce the least amount of hazardous waste. APHIS procurement policies will consider long-term usage of products, the environmental costs associated with products (e.g., the product's recyclability, useful life, and production of pollution) and utilization of recycled products. APHIS will provide environmental education opportunities through continual learning so that employees are aware of their impacts on the environment.

Some Indicators of Success:

- Recycle resources (e.g., paper, aluminum, plastics, chemicals, printer cartridges, computer parts, and solvents).
- Reduction of fossil fuel consumption through flexiplace, maxiflex, carpooling, using mass transportation, using fuel-efficient official vehicles, regular vehicle maintenance, and recycling used oil.
- Reduction in the amounts of toxic or hazardous materials used, such as laboratory solvents (e.g., reduction in solvent use at Denver Wildlife Research Center).
- Improving awareness of environmental ethics and changing behaviors through participation in environmental education continual learning opportunities.

4. APHIS forges partnerships within and outside the agency to enhance its role as a steward of the environment.

Program units within APHIS will form partnerships to better accomplish agency goals. APHIS will use its expertise in cooperation with outside entities such as State or other Federal, Tribal, or local resource agencies (through cooperative agreements, memoranda of understanding, contracts, or grants) to manage and enhance components within ecosystems. APHIS also will form partnerships with public and private interest groups, associations, and organizations.

Some Indicators of Success:

- Partnerships between APHIS program units (e.g., partnership between ADC and PPQ to map populations of tropical soda apple).
- New partnerships between APHIS and State, Tribal, or other Federal resource management agencies (e.g., brucellosis management in the Greater Yellowstone bison and elk herds, suppression or eradication of purple loosestrife, suppression or eradication of salt cedar, protection of native or endangered species, and the APHIS Native American Working Group).
- New partnerships between APHIS and interest groups, associations, organizations, industry, and environmental and civic groups.

5. Proactive communication with the public about agriculture and the environment.

APHIS will take positive steps to communicate its environmental ethic to the public. APHIS will continue to provide educational materials to inform the public of its environmental accomplishments and discuss the environmental nature of its mission. Programs will develop broad-based coalitions with groups that may be affected by environmental impacts of its programs and incorporate these groups in the planning process.

- Development of external environmental educational opportunities to inform the public of APHIS' accomplishments, (e.g., ADC's "Living with Wildlife").
- Involvement in program planning of groups or human populations that may be affected by environmental aspects of program activities.
- Establishment of networks for open dialog with persons or groups critical of environmental consequences of APHIS programs (e.g., biotechnology forum with APHIS critic).

Tasks, Resources, Responsible Person(s) and Deadlines

What are the key tasks? (List key milestones) Examples of four key activities	**What resources do you need?** (People, $, and other--include the sources of the resources.)	**Who is responsible?** (For seeing that the tasks are completed--include connections with other teams when needed.)	**When is it due?**
NEPA Responsibility Select NEPA coordinators for all program units.		AMT members	Jan. 1996
Establish an "environmental responsibility coordination team" which would include EAD and the coordinators.		John Payne and AMT	Feb. 1996
Hold a workshop designed to compare the ways in which NEPA requirements are currently being implemented in APHIS programs and what lessons have been learned for other programs (workshop would include field visit). Outcome of workshop would be a comprehensive view of APHIS' NEPA work, establishing a baseline for measuring future progress.	Coordinators; funding for this and the following activities would come from program operational funds, EAD, and other regular sources	Bobby Acord	April 1996
Develop an APHIS program-wide NEPA compliance strategy to cover programs which are currently without an appropriate level of environmental analysis or appropriately trained personnel to carry them out. This would be developed in tandem with the multi-year program planning and budgeting process.	Coordination team	John Payne/Bobby Acord or the team leaders	August 1996
Expand current models of NEPA responsibility from active programs to those in which little or no work has been done.	Coordination team and AMT	John Payne/Bobby Acord or the team leaders	Jan. 1996- May 1997
Recycling a.1.) Establish baseline of current recycling or related programs. a.2.) Utilize "Inside APHIS" and other mechanisms to communicate "success stories" and ways to implement.	Recycling project team[3]	John Payne and Bobby Acord with appropriate M&B personnel	April 1996

[3] t.b.r.: to be recruited

Procurement policies Establish guidelines for "green" cost-effective procurement as a means of implementing policy. Implement guidelines.	MSD	John Payne and Bobby Acord with appropriate M&B personnel	May 1996
Reduction of hazardous waste and use of toxic materials Establish pollution prevention and source reduction strategies for all APHIS facilities (e.g., Denver Wildlife Research Center). Provide training opportunities for staff at one facility to visit a facility that has demonstrated excellence in pollution prevention and source reduction. Implement pollution prevention and source reduction strategies.	MSD	John Payne and Bobby Acord with appropriate M&B personnel	May 1996

Action Plan: Strategy 7

Innovative Regulatory Systems

Outcome Expected:

Vision Element: In developing regulatory systems, use innovative approaches that continually push the legal envelope, that provide new incentives to invite willing customer compliance, and that achieve program objectives at the lowest public and private costs (taking into account that costs may include environmental, social, and other nonmonetary impacts). In addressing problems, always consider whether objectives can be achieved through nonregulatory as well as regulatory methods.

Key Outcomes: APHIS regulatory activities will be --

- Timely
- Focused on measurable outcomes that are true to the APHIS mission and have customer/stakeholder/partner support
- Conducted in a manner that maximizes customer/stakeholder/partner involvement and minimizes public and private costs

Goals:

Goal 1: Have integrated, user-friendly regulatory systems to achieve program objectives.

Goal 2: Have a range of enforcement tools that can be promptly and effectively applied to ensure compliance with program objectives.

Indicators of Success:

Flexible, user friendly regulatory systems (including approaches that do not rely on regulations) that support program objectives will allow us to carry out our mission in a way that is responsive to the needs of our stakeholders, other customers, and employees. Potential benefits include a reduction in the cost of doing business for both APHIS and its stakeholders, an increase in voluntary compliance, quicker and more effective enforcement, a reduction in the backlog of enforcement cases, fewer challenges to our regulations, and for APHIS employees in particular, a renewed sense of purpose as public servants. In addition, APHIS programs would enjoy greater public and Congressional support.

Force Field Analysis

Goal 1: Have integrated, user-friendly regulatory systems to achieve program objectives.

Factors that will help:

o Current frustration levels will motivate change

o Regulatory reform initiatives that provide ways to do new things (e.g., NPR)

o Regulatory reform initiatives that would derail rulemaking may take place if we don't change

o Streamlining and downsizing

o GATT/NAFTA (need changes in place quickly to respond to trade agreement goals)

o GATT/NAFTA impact on current regulations, which were not designed to facilitate trade

o European Union trade standards/practices

o Stakeholders want more input into how they are regulated

o Customer service initiatives

o Electronic communication; information technology

o Improved risk assessment methodology

o Empowered employees

Actions to take to support these factors:

Integrate strategies with ongoing initiatives:

o GPRA
o Streamlining
o Trade
o Customer service
o Risk assessment

Train and inform employees

Inform stakeholders

Factors that will hinder:

o Regulatory reform initiatives under consideration by Congress that could cause additional delays in rulemaking; backlash to perceived overregulation

o Congress and public sometimes make no distinction between good and bad regulations

o In APHIS, there are areas of general entrenchment in an old mode of doing things -- "test and slaughter"/ "quarantine and eradicate" states of mind

o Human factor: fear of taking away tools people are familiar with; things aren't as clear; employees do not always welcome or understand empowerment

o New ways of regulating may have higher legal risks, be more difficult to defend

o Traditionally, there has been a fairly conservative interpretation of statutory requirements

o Layers of bureaucracy w/in the department frustrate attempts to change

o Resources limited to bring about change rapidly

o Stakeholders and customers may be resistant to change; when we change, they have to change (e.g., cooperators, State officials)

o Barriers to communicating across all of APHIS (including lack of skills, procurement constraints, hardware/software incompatibilities) -- we are not yet one APHIS

Actions to take to minimize these factors:

Reinforce and reward change

Invoke reinvention to avoid bureaucracy

Sell changes to stakeholders

Closer coordination with OGC.

Talk with customers/stakeholders and employees

Have cross-organizational involvement in completing tasks

Train employees to apply information technology in their jobs and reward them for gaining these skills (not just software package training, but also information management training)

<u>Goal 2</u>: Have a range of enforcement tools that can be promptly and effectively applied to ensure

compliance with program objectives.

Factors that will help:

o Current frustration levels will motivate change

o Regulatory reform initiatives that provide ways to do new things (e.g., hearings by teleconference, penalty waivers)

o Regulatory reform initiatives that would derail rulemaking may take place if we don't change (the Newt factor)

o Streamlining and downsizing

o New uses of/improved technology

o Employee support for, and satisfaction with, prompt enforcement actions related to their activities

o Stakeholders want more input into how they are regulated

o Customer service initiatives

o More highly educated, flexible, and innovative force

o Electronic communication; information technology

o Improved risk assessment methodology

o Empowered employees

Actions to take to support these factors:

Same as for Goal 1
In addition, create a feedback loop so that regulation writers regularly see program evaluation data -- to help them see which regs are working and which aren't, and why.

Factors that will hinder:

o Outdated and poorly written regulations

o In APHIS, there are areas of general entrenchment in an old mode of doing things -- "test and slaughter" / "quarantine and eradicate" states of mind

o Human factor: fear of taking away tools people are familiar with; things aren't as clear; employees do not always welcome or understand empowerment

o New ways of regulating may have higher legal risks, be more difficult to defend

o Traditionally, there has been a fairly conservative interpretation of statutory requirements

o Layers of bureaucracy w/in the department frustrate attempts to change

o Resources limited to bring about change rapidly

o Stakeholders and customers may be resistant to change; when we change, they have to change (e.g., cooperators, State officials)

o Barriers to communicating across all of APHIS -- we are not yet one APHIS

o Human nature

o Legal system (due process and resources)

Actions to take to minimize these factors: Same as for Goal 1

Tasks, Resources, Responsible Person(s) and Deadlines

Goal 1: Have integrated, user-friendly regulatory systems to achieve program objectives.

What are the key tasks?

Task 1: Design/revise and implement voluntary certification programs. That is, convert, where possible and appropriate, from APHIS certifying that standards have been met to industry certifying that standards have been met. Accountability and responsiblity by industry; APHIS monitoring.

Task 2: Design/revise and implement performance standards. That is, convert, where possible and appropriate, from APHIS engineering standards in rules to performance standards. Accountability and responsiblity by industry; APHIS monitoring.

Task 3: Design/revise and implement self-regulation programs. That is, convert, where possible and appropriate, from APHIS rules to industry self-regulation. Accountability and responsiblity by industry; APHIS monitoring.

Task 4: Establish a reward system for high compliance customers to promote willing compliance. Integrate rewards into program design.

Task 5: Enhance cooperative efforts with States; where possible and appropriate, increase the States' regulatory role.

Task 6: Improve customer satisfaction with rulemaking (e.g., increase customer involvement in the process, streamline the process, provide electronic access).

Goal 2: Have a range of enforcement tools that can be promptly and effectively applied to ensure compliance with program objectives.

What are the key tasks?

Task 1: Improve customer satisfaction with enforcement programs (e.g., streamline to provide swift justice; provide electronic, easily understood, timely notification; help APHIS inspectors and investigators develop customer orientation toward regulated individuals and concerned constituencies; involve customers in design, implementation, and conduct of enforcement process; ensure results-based, objective, measurable assessments).

Task 2: Establish reward system to promote willing compliance and enhance market edge of those who comply.

Task 3: Identify and design nontraditional tools (i.e., alternatives to traditional penalties) to assist/encourage violator to achieve compliance (e.g., community service; allowing some or all of fine to be turned back into company to correct violations; education; training).

Task 4: Identify and develop "technologically contemporary" inspection and enforcement methods to be more user friendly and more effectively leverage resources. Explore high-tech methodologies, products, and systems, including risk analysis techniques and results monitoring, in program planning and delivery.

Task 5: Expand and improve penalty capabilities (e.g., increase civil penalty amounts; explore how we can most fully use civil penalties under current statutes and regulations; ensure that enforcers understand how to make full use of all available tools; close loopholes in current regulations in a systematic, rather than piecemeal, way).

Task 6: Devise/coordinate methods and tools to integrate State, local, other Federal, and international enforcement activities to maximize resources and impact through collaboration (e.g., expand use of cooperative agreements (formal and informal) and MOU's; use the latest technology (e.g., Internet or other electronic means) to keep cooperating organizations (e.g., State enforcement officials) informed and coordinate actions; cooperate with others in an integrated and systematic, rather than sporadic, way; explore international possibilities for collaboration to increase effectiveness).

Task 7: Educate employees, customers, stakeholders on compliance functions, needs, capabilities, and limitations. Show the benefits of compliance, and the consequences to individuals, the public, and industry of failure to comply; and inform them of the role of penalties and other deterrents in our programs. Publicize APHIS's role/successes, and clarify what we can/can't do.

Science and Technology Strategy Action Plan
December 11, 1995

SCIENCE AND TECHNOLOGY VISION ELEMENT

To assure science-based policy and decisions, APHIS identifies, acquires, applies, develops, transfers, and facilitates the use of modern technologies, scientific methods, and analytical methods, including forecasting and risk analysis. The agency acquires and maintains the best scientific and technological expertise and uses emerging technologies and state-of-the-art information management systems.

Change Agenda Strategy

To ensure APHIS' ability to make the highest quality science based decisions possible and to improve program delivery through the meaningful involvement of the Agency's scientific and technological resources.

Introduction: Rationale for Change

There are many shifting trends and forces in today's world that are forcing the Federal Government to find new more effective and efficient ways of doing business. The widespread anti-government sentiment of the public has led to efforts to reform the role and size of the government. The budget deficit and the desire to balance the Federal budget are driving the reduction of funds that support many government agency's operations. In addition to the budget deficit, the Federal Government is also facing a productivity deficit. Thus, the government must find ways to work smarter, acquire new skills, gain synergy, add value, streamline processes, systems and structures to focus on results and meet customer needs. More specifically, for USDA, we now must function in a post-GATT and post-NAFTA environment. The debate over the purpose of the U.S. scientific enterprise is caught up in the shift in focus from a cold-war paradigm to being driven by global competitiveness. This means that concepts like equivalency, harmonization, transparency, risk analysis, regionalization, and disease and pest management surveillance systems are more important than ever before. APHIS must ensure its leadership in maximizing both protection and facilitation strategies for trade in a world that is fast becoming the "global village" of tomorrow. As a result, there is an increased demand for APHIS' sanitary and phyto-sanitary expertise in trade facilitation, negotiation and policy making. Trade decisions must be based on scientifically valid risk analyses. Our science based policies and decisions are subject to legal challenge more and more. Consistent technological and international standards must be based on sound scientific principles. Additionally, the predominantly urban consumer population perceives production agriculture as contributing to environmental degradation. The public's demands for the protection of the environment creates more pressure on agriculture to exercise more environmental responsibility in the conduct of business. As a result APHIS must develop

and utilize such programs as integrated pest management to meet our program goals in an environmentally sound manner. People want to understand the scientific rationale for decisions that have significant economic and environmental impact.

The recent government reform recommendations made by the National Performance Review (NPR) have put an emphasis on customer service. As the government considers the needs and wants of the people it serves, agencies are looking for ways to deliver more timely and high quality services. Partnerships with researchers, industry, and public interest groups will go a long way in providing and conserving resources, as well as identifying the appropriate expertise and issues.

Additionally, as APHIS continues to experience an increased need for efficiency, the Agency is adopting a team approach to carrying its objectives and to solving problems. Working in cross-functional teams helps to ensure the appropriate people will get together to address a specific issue at the appropriate time. We want to empower ourselves to work together in a way that we continually move from being "reactive" and "bureaucratic" to being "responsive". Additionally, these cross-functional teams need to access the right kind of information at the right time in order to carry out their work effectively and efficiently. This requires an integrated information system that will allow the various parts of APHIS to communicate with one another more freely, and to build and share data bases together. We must draw upon multiple disciplines, as appropriate to ensure timely, comprehensive, strategic and balanced decision making.

APHIS must have the intellectual integrity and the desire to achieve the vision we have set for ourselves. Our scientific and intellectual abilities will be critical to meeting these goals. APHIS must have the scientific and technological infrastructure to meet the challenges of the 21st century.

The Current State of Science and Technology in APHIS

Science

Some of the program unit structures encourage the effective involvement of science in making operational, emergency related, and policy decisions. Other unit structures do not encourage their scientific resources to be meaningfully involved.

Sometimes the political and economic issues appear to override the scientific input provided. Scientists do not always understand the political and legal issues involved in a decision.This suggests a need for better communication regarding the rationale for the decisions made and training scientists in the legal aspects of the decision making process. At the same time, the more timely involvement of scientists as problems arise would eliminate the need for scientists to "retrofit" scientific rationale for a decision that has already been made.

As the funding resources are diminishing for the Agency, we need to find creative ways to extend our capacity to do good science. We need to explore the possibility of collaborating with new and old partners both within and external to the Federal government to accomplish our work.

There is no Peer Review process within APHIS, with the exception of ADC, to ensure the quality and effectiveness of our scientific resources. Additionally, limited budgets often mean our scientists are not able to attend scientific meetings to stay current in their field. New ways to meet this need must be found for APHIS to benefit from the most current scientific developments. This also applies to computer professionals.

Technology

Some program units are more advanced in their investment and utilization of information technology systems and applications. Other units have not had the funds to develop their information technology capacity. There are still areas within program units that do not have the automated equipment needed to do their work more effectively and efficiently. At the same time, the program units have invested in different types of systems which makes it very difficult to share data, archived or real time, across the boundaries of those systems. The Information Technology Services has been formed to correct these problems. ITS is striving for an integrated APHIS wide approach to information technology and applications. The Integrated Systems Acquisition Project contract has been awarded. It will provide the Agency a common platform based on the UNIX operating to ensure APHIS-wide systems compatibility and connectivity. In the meantime, information sharing Agency-wide is achieved through the use of electronic mail capabilities in Groupwise, FTS2000 mail, and the Internet.

There is still significant potential for scientific and technological expertise to work together to assure technologies are effectively integrated into APHIS programs and data is identified and analyzed in response to customer needs efficiently. The ITS priority-setting process is an example of an initiative in this area.

Outcome Expected

The agency acquires and applies the best scientific and technological expertise, and appropriate technologies and information management systems in order to provide timely and responsive decisions that can withstand scientific challenge.

Goals:

1. Internal and external scientific resources support our environmental, global, and regulatory initiatives as well as ongoing program delivery.

2. Program delivery is continually improved through a technological infrastructure that enhances

the acquisition, development and dissemination of scientific, technical, and administrative information.

Goal #1

Indicators of Success:

1. Data and rationales will be available for timely and credible trade and programmatic decisions

    a. We will focus on and develop continually improving processes for providing the essential information and analysis

        -- working with each other
        -- working with ARS
        -- working with other government entities
        -- working with the academic community (domestic/international)
        -- working with industry

    b. New and enhanced interactions (processes) are developed to provide and integrate the appropriate science into the global, environmental, regulatory and customer vision initiatives.

2. APHIS will be able to track effectiveness of its scientific enterprise in delivery to customers both internal and external.

    a. Each part of the organization understands its part in achieving these goals

        -- APHIS scientists know what is needed by their customers - operations, trade negotiations, regulations, risk and environmental assessments.
        -- Operations, trade, regulators, assessors work with scientists in teams to accomplish ongoing goals.
        -- Accomplishments are tracked and identified.

    b. Scientific resources are shared across APHIS as appropriate.

        -- duplication is avoided.
        -- inventories of expertise and equipment are available.
        -- mechanisms for communication and interaction are in place.

Measurements of Success:

1. Scientific priorities are developed within each of the programs and across APHIS.

2. Cyclical monitoring and evaluation empowers the fulfillment of each of the priorities.

3. Measurable increases in effectiveness due to available scientific rationales, data, and methods are demonstrated in the global, environmental, and regulatory initiatives.

- the numbers and issues are measurable.
- APHIS responsiveness is commensurate with the demand.
- A 360 degree system for getting feedback and rating scientific and technical support across the agency is developed.

5. Linkages, technologies, and decision support systems are identified and put in place within the next 2 years.

Goal #2

Indicators of Success:

1. APHIS offices operate from a common hardware, software, and communications infrastructure.

2. Resources can be matched with workload or can be directed to the highest priority in an ongoing manner ($/people/work).

3. Every APHIS employee is able to effectively access to the information and data necessary to do their jobs well.

4. Decision support programs and applications transform data into information that is easily accessible and sharable within and outside APHIS.

Measurements of Success:

1. The computer (microcomputer or client/server workstation) is an accepted tool by employees to accomplish their work effectively.

2. Employees of APHIS are linked by a common technological infrastructure.

3. Managers and others are able to make resource decisions daily based on accessible "real time" information on resources.

4. Information collected by APHIS is both collected, stored, and developed in a form that makes it accessible to the rest of the agency.

Helping and Hindering Forces

Helping Forces:

1. ITS is implementing the "snake killer" initiative to connect the agency by electronic means as defined in the Strategies conference.

2. Diminishing resources will increase the pressure to leverage intellectual and other resources.

3. Certain programs within and outside APHIS have created new ways of empowering their scientific resources and creating teams with operations to achieve program initiatives and these could be shared and improved.

4. The team-based organization initiative will encourage teams working within programs as well as creating and fostering cross-program/disciplinary problem identification and solving.

5. Valuing-people initiative will develop new ways of working with a diverse workforce with continual learning needs as well as assuring the maintenance of an appropriate workforce.

6. Leadership initiative will focus on managerial skills that enhance the value to the organization of all employees.

7. The global, environmental, and regulatory initiatives will develop a thorough understanding of their S&T needs and processes for assuring that these are met.

Hindering Forces:

1. Management of scientific and technological resources has proceeded in a haphazard way across the agency. In some cases, this has lead to conflicting messages, a lack of clear guidance and expectations, and alienation.

2. Program-centric mindsets have not allowed cross fertilization/utilization which has lead to duplication of efforts and resources and a static approach to solving problems.

3. Program-centric mindsets do not treat every employee as a valuable professional asset; resources are treated according to rigid hierarchies as "secretaries" and "technicians" rather than as professional assets.

4. Decisions about the "crises of the moment" have not always been made in concert with long term initiatives and goals.

5. The long term strategies are not worked out yet.

6. Lack of short and long term commitment as indicated by inappropriate funding of identified priorities which results in wasted time, effort and money.

7. Reluctance to put funds in no-year fund accounts.

8. The distinctions between efforts to change existing patterns and those to create new initiatives are not understood.

9. The structure and rewards of the current organization (program/regions) does not foster cross fertilization/utilization of scientific resources.

10. Uncertainty about what we are trying to create - a way of working together somewhere between the old S&T unit which was separate from the programs and having the science within the programs which are separate from each other.

11. Diminishing resources will impact the ability to attract and maintain high caliber expertise.

The clarification of goals through the vision elements and development of methods to communicate and address those goals, in addition to setting up mechanisms for resource (intellectual as well as physical) sharing, should begin addressing many of the above problems.

ACTION PLAN

The action items listed below were developed by the S&T vision element team, the participants and champions of the Science Leadership Conference, and members of ITS.

Goal #1

APHIS effectively utilizes internal and external scientific resources to support environmental, global trade, and regulatory policies and initiatives as well as ongoing and emergency program delivery.

Task One: Convene the Scientific Leadership of APHIS: Involve the scientific leadership in a conference to set the direction that will assure the science base necessary to support the APHIS of the future; to identify and develop action steps that will be incorporated into the S&T Change Agenda strategies and Action Plan Implementation Teams to implement these strategies; and to strengthen the network of APHIS scientists across program/activity areas.

Resources
- Time and/or travel $ ($29,000) from each unit

Who is Responsible
- OPD and Design team consisting of representatives from each unit

When is it due?
- November, 1995 (DONE)

Task Two: Establish a Science Advisory Council (SAC): Promote, coordinate, facilitate and communicate APHIS scientific and technical activities to ensure the routine inclusion of scientific input, ensure planning processes set scientific initiative priorities, identify and inform the Agency of emerging scientific issues and trends, ensure maximum communication occurs between scientists and policy makers and ensure an environment that cultivates and retains good scientists is maintained (See Appendix I).

Resources
- 2-4 meetings/year at a cost of approximately $5000/meeting (travel)
- OA, OPD and PPD

Who is Responsible
- Unit Management Teams
- Champion: Sally McCammon. Team members: Dick Curnow, ADC; Dave Siev, BBEP: Patrick Gomes, IS; Jane Berkow, OPD; Richard Orr, PPD; Robin Huettel and Dale Meyerdirk, PPQ; Debra Beasley, REAC; Scott Hurd and Randall Levings, VS.

- Vision Strategy Element: Customer Service

When is it due?
- Immediately (interim council)
- February, 1996

Task Three: Scientific Career Path. Provide incentives for excellence and a competitive career path for scientists and technicians. This will include peer review, a reward system, and specialized positions (technical and scientific, equipment specialists, visiting scientists, etc.).

Resources
- OPD, M&B, and Team to "invent" an appropriate career path
- PPD and Team to design peer evaluation system
- Team members supported by units

Who is Responsible
- Champions: Louise Henderson, VS, and Sally McCammon, OA. Team members: Dick Curnow, ADC; Norm Leppla, NBCI; Ralph Ross, OA; Bob Staten and Lloyd Wendel, PPQ.
- Vision Strategy Teams: Shared Leadership Through Teamwork, Valuing People Through Continual Learning
- M&B, OPD

When is it due?
- November, 1996

Task Four: Create a Skills/Equipment Inventory. Establish a scientific skills and equipment database for APHIS. This inventory can serve as a resource to scientists and decision makers to facilitate collaborative partnerships in addressing scientific challenges and to utilize the most appropriate personnel and resources for any given problem or initiative. This database will be searchable by all APHIS employees.

Resources
- Use existing resources for communication within APHIS to create a format on the APHIS World Wide Web server through which scientists can input their skills and other available resources. For those in APHIS that do not have access to internet, we will allow a dial-up modem connection to obtain this information.
-$6000 to increase the power of the existing computer [the APHIS World Wide Web (WWW) Server, which acts as a web server and a news server for the agency] and to move the news to another computer, thus freeing resources for the skill database. Because the popularity of APHIS information on the WWW, the resources on this machine will quickly be exceeded.

Who is Responsible
- Champion: Keith Reding. Team members: David Graddick, ITS; Rob Staten, PPQ; Mary Geib, REAC; Donna Carver and Beverly Schmitt, VS.
- Agency scientists to find site and input information.

When is it due?
- functional and ready for input by **mid-January, 1996**.

Task Five: Develop and Implement Program Planning Models for Scientific Informed Decision Making: Develop or capitalize upon planning processes that ensure effective research priority setting, identification of emerging issues, identification of emerging technologies, and development of data, information, and rationales for credible risk assessment and rulemaking. Effective planning processes will ensure that programs have the appropriate scientific and technical support for biological decisions; that Agency policies, decisions and strategic planning are science-based; and that available technologies work synergistically.

Resources
- Programs and support units to identify/develop processes
- PPD to assist with evaluation of planning processes
- SAC and PPD to work with Management teams to assure effective planning processes and priority setting
- OPD to work with teams of stakeholders to develop plans

Who is Responsible
- SAC - Champion: Sally McCammon. Team members: Dick Curnow, ADC; Dave Siev, BBEP: Patrick Gomes, IS; Jane Berkow, OPD; Richard Orr, PPD; Robin Huettel and Dale Meyerdirk, PPQ; Debra Beasley, REAC; Scott Hurd and Randall Levings, VS.
- Vision Strategy Teams: Customer Service, Global, Environmental, and Regulatory
- Management teams.
- Research Leaders
- Support units

When is it due?
November, 1996

Task Six: Pilot Multidisciplinary and Ad Hoc Teams composed of individuals from multiple Program Units and organizational entities outside APHIS. Certain customer-driven and emerging issues will be addressed in pilot projects by interdisciplinary teams using creative problem-solving techniques. Teams may be comprised of individuals from inside, across, and outside the Agency with the specific skills and strengths most efficient and effective to focus on project goals. Teams will share resources across unit and activity boundaries to address certain

needs of the agency. Utilization of teams should encourage greater trust and effective utilization of resources. Appropriate management, support, and appraisal will be given to team pilot projects (See Appendix II).

Resources
- Programs
- OPD-teams
- M&B-flexible staffing and funding mechanisms

Who is Responsible
- Champion: Farouk Hamdy, IS. Team members: Ray Sterner, ADC; Alice Wywialowski, PPD; Victor Mastro, PPQ; Scott Hurd, PPQ.
- Vision Strategy Element: Shared Leadership Through Teamwork,
- ITS - develop expertise inventory and data management systems
- SAC

When is it due?
- April, 1996 - identification of pilot projects

Task Seven: Expand Financial and Other Resources. Link agency resources with those of other stakeholders, customers and agencies, as well as between units, to accomplish the APHIS vision of customer service. Foster cooperative partnerships with external entities having unique resources. These include financial, intellectual and other assets that in combination bring synergy to accomplishing APHIS scientific endeavors. These linkages will augment funding and involve stakeholders and customers in priority setting and planning (See Appendix III).

Resources
- $4000 for distribution of information
- M&B

Who is Responsible
- Champion: George Linz, ADC. Team members: Dick Curnow, ADC; Robin Huettel, Bob Staten, and Scott Wood, PPQ; Donna Carver, VS
- Program managers

When is it due?
- April, 1996 for identification of processes
- June, 1996 for communication with program managers

Task Eight: Implement a Quality Assurance (QA) Program. Assure all customers who receive scientific data, products, services or regulatory oversight from any APHIS Unit that the

data, product, service or oversight meets standards. Standards will be internationally recognized as equivalent and will be transparent. Assurance will be afforded through written standards and operational procedures and through the documentation of independent auditing of the QA process (See Appendix IV).

Resources
- unit time and money
- OPD

Who is Responsible
- Champion: Ron Berger, BBEP. Team members: Joe Ford, BBEP; Patrick Gomes, IS; Frank Ross, VS.
- Quality Assurance Council
- AMT

When is it due?
- 1996

Task Nine: Acquisition of scientific knowledge. Assure APHIS scientists acquire the knowledge and remain current in disciplines critical to Agency work through creating an organizational framework for communicating and orchestrating opportunities for continuous education, participation at scientific meetings, fellowships for able employees to earn advanced educational degrees, professional training and certification, sabbaticals for specialized educational experiences, exchanges within APHIS and with other scientific institutions, rotation of employees among headquarters and field locations, positive employee turnover while assuring competitive careers for scientists who remain in position, and time to keep current in field. This framework would assure a partnership that would take into account accountability for value-added productivity to APHIS programs and to all scientific staff.

Resources
- Time and money for identification and planning of individual and unit needs
- OPD/training
- M&B/flexible staffing

Who is Responsible
- Champion: Norm Leppla, NBCI. Team members: Farouk Hamdy and Chris Hofmann, IS.
- Vision Strategy element: Valuing People Through Continual Learning

When is it due?
- June, 1996

Task Ten: Communicate the role of science in APHIS. Actively communicate with Agency personnel, the general public, customers, stakeholders and other government agencies regarding the key role science, technology, and APHIS scientists play in the success of the APHIS mission.

Resources
- $1200 for 6000 brochures/vision and actions from the Science Leadership Conference
- $1500 for 1-2000 copies of the Conference proceedings
- $ for CD ROM disc of expertise inventory for those not connected on the WAN within APHIS
- LPA
- ITS

Who is responsible?
- Champion: Debra Beasley, REAC. Team members: Joe Ford, BBEP; Dale Meyerdirk, PPQ
- LPA/ITS

When is it due?
- December, 1995 - proceedings
- April, 1995 - brochure

Task Eleven: Benchmark best practices. Other scientifically-based agencies (e.g., the Forest Service) and organizations in the private sector are using and developing practices that allow science to be used effectively to achieve their missions. APHIS could benefit from following and adopting appropriate practices.

Resources
- PPD

Who is responsible?
- PPD
- SAC

When is it due?
- April, 1996 - proposal

Task Twelve: Establish a Means of Assuring Continuous Improvement. Provide routine and ongoing feedback from operations on the services obtained from science and technology support in order to assure APHIS customer service.

Resources
- PPD
- Unit operations

Who is responsible?
- PPD
- Vision Strategy Element: Customer Service

When is it due?
- 1996

Goal #2:

Program delivery is continually improved through a technological infrastructure that enhances the acquisition, development and dissemination of scientific technical and administrative information (See Appendix V for expanded plan).

Task one: Institute a performance measurement program. Determine the relationship between inputs, outputs, outcomes, and impact for the Information Technology Services organization.

Resources
- ITS - Co- lead the project and staff teams
- PPD - Co-lead and staff teams
- APHIS - Employees participate in FOCUS groups, complete surveys

Who is responsible?
- ITS with PPD support
- ITS - FPS
- ITS-OD

When is it due?
- Early Second Quarter FY96, survey developed
- Mid-third Quarter FY96, first survey
- Fourth Quarter FY96, second survey
- End of FY97, monitoring system

Task two: Institutionalize an Agency wide integrated planning method. Include regular priority setting for new initiatives in the information technology area through integrated planning.

Resources
- ITS, Lead project
- Program, Provide team members
- Business Advisory Team, Advise on Program direction
- PPD, Coordinate for overall APHIS direction
- AMT, Select Program membership in the planning team

Who is responsible?
- ITS
- Program representatives

When is it due?
- Second Quarter FY96

Task three: Integrate the project slate and existing technologies with the new ISAP infrastructure. Implement an integration plan for the implementation of the information technology project slate and the existing installed technologies in conjunction with the introduction of new technological infrastructure elements obtained via the Integrated Systems Acquisition Project (ISAP) contract.

Resources
- ITS-PLT
- ITS employees

Who is responsible?
- ITS-CIO
- ITS-PLT
- ITS Marketing Team
- LPA

When is it due?
- End of second quarter, FY96 - project planning and coordination
- Early Second Quarter, FY 96 - vision statement
- Fourth Quarter, FY 96 - scoping effort documented

Task four: Establish the APHIS Wide Area Network. Establish an APHIS way for interconnecting and communicating between APHIS offices. This APHIS way will be the APHIS Wide Area Network.

Resources
- ITS-CIO
- ITS-PLT
- ITS-Functional Areas
- Millions ($)

Who is responsible?
- ITS-CIO
- ITS-PLT

When is it due?
- Early second quarter FY96 - coalition with USDA

- Fourth quarter FY96 - eliminate duplication, transport evaluation
- End of second quarter FY96 - evaluate data exchange methods
- Next 10 years

APPENDICES

APPENDIX I
Draft Charter for the Science Advisory Council

The establishment of a Science Advisory Council was proposed by the Science Leadership Conference, held in November, 1995. This council will promote, coordinate, facilitate and communicate APHIS scientific and technical activities in order to:

a. Ensure the routine inclusion of the best and most current scientific data, resources and methodologies available into APHIS and program decision making processes.

b. Ensure planning processes are executed for scientific priority setting and achievement that works for APHIS and APHIS programs and incorporates our research and industry partners (ARS and universities).

c. Identify and inform agency policy makers of emerging critical issues and emerging scientific trends and technological developments and to participate with management to develop proactive plans to address these issues, trends and developments.

d. Develop a dialogue that allows the APHIS scientific community to better understand the policy issues, the political and economic constraints and rationale that went into decisions made.

e. Provide a linkage for management teams to expeditiously reach the appropriate scientist with the agency concerning specific issues.

f. Create and maintain an environment that cultivates and retains good scientists.

g. Coordinate with the information technologies infrastructure and ISAP.

The SAC will be composed of "working" scientists and/or research leaders from each program unit. Members of this body will work with and act as liaison between all the APHIS units, their respective management teams, the AMT and the scientists with their units. Membership may be rotating.

The SAC will not be responsible for resource allocation or approval of projects. The SAC will be consultative and facilitative in the way it works. Membership can be rotating with each program having 1-2 members and consisting of research leaders and bench scientists, as appropriate.

In order to create this council, a prototype interim council has been formed from the Leadership Conference for one year to accomplish the following tasks:

a. Providing encouragement, oversight and follow-up in the implementation of the **Science Leadership Conference Action Plan.** Completing a report at the end of 12 months

demonstrating successes and remaining work.

b. **Developing a decision making process** that would ensure the routine inclusion (input and feedback) of scientific information into APHIS and program decisions. This would include defining the infrastructure to support this process and facilitating a process to establish the permanent Science Advisory Council by:

- assure that each management team has appropriate representation of scientific resources and issues (research leader and/or bench scientist), on each of the program management teams. Each program would work out what would be most productive. The scientific representatives on the management teams would be members of the SAC.
- encouraging the development of a communication network to and from the "bench" and field scientists. The goal here would be to ensure robust scientific input becomes a way of doing business in the future.

c. **Developing a planning process(es)** for scientific priority setting and achievement that works for all of APHIS and incorporates our research partners (ARS and universities). The process would be customized according to particular program needs.

- assure that their is a useful priority setting process in each area
- assure APHIS-wide communication, facilitation, and coordination of priority setting.

Background

APHIS has always assumed the importance of making science based decisions. In light of the challenges we now face in the international global trade, environmental, and regulatory arenas, it is becoming more important that ever that APHIS makes use of the best available scientific and technical data and methodologies. We must be able to show the scientific basis and evidence that supports Agency actions and decisions. Additionally, in light of budget cuts and reduced resources, we must find ways to work more efficiently and effectively with our own resources and external resources.

The goal of the SAC is to assure that science plays a more active and meaningful role in support of the Agency's mission.

It is believed that scientists whose main focus or role is conducting science need to be more connected (active/interactive) to the decision making process. As a benefit to the agency, this will enrich the decision making discussions with the most current and best scientific data and methodologies available and with the broadest range of relevant input possible. The benefits to the scientists will be to have their input heard and fully understood (versus relying on others to transmit/translate their input) and they in turn can be more appreciative of the political considerations and economic constraints in decision making.

Additionally, APHIS is adopting a team approach to carrying out our Agency objectives and to solving problems. We must draw upon multiple disciplines, as appropriate to ensure comprehensive, strategic and balanced decision making. APHIS will continue to experience increased need for efficiency.

APPENDIX II

Pilot Multidisciplinary and Ad Hoc Teams composed of individuals from multiple Program Units and organizational entities outside APHIS: Draft Plan

APHIS will utilize nationally - and internationally-recognized scientists who work together and share resources across unit and activity boundaries, to address the needs of the agency. These activities will focus on the agency's goals of protecting American agriculture while facilitating trade. Groups of scientists will address these needs by working in self-motivated and self-directed, customer-responsive teams. Teams may be comprised of individuals from inside and outside the agency, with specific skills and strengths to most efficiently and effectively focus on the goals of the agency. Individuals within a team will be responsible for each other. APHIS scientists will be involved in basic research as well as research applications and technology development. A performance appraisal system will be designed to recognize individuals' and teams' contributions. This structure will not be hindered by "territorial turf" and will encourage greater trust and utilization of resources. Teams will be structured to address customer-driven and emerging issues and utilize creative problem-solving techniques. Scientists will collaborate with other scientists in public and private research institutions to satisfy the specific skill requirements of the project. Team leaders, as part of management will, through rational decision-making, focus the team energies and resources to high return areas and generate support for the teams once they are focused.

Approaches to Change Science in APHIS to Team Based Structure

I. Current Reality

Team work in APHIS scientific community is not a new concept. Many scientists do work in teams, collaborate with other scientists in the same functional unit, across the agency or with other institutions are universities; generally this team work is a result of individual's interests and initiatives. The APHIS scientific community visions an extension of this concept so that it becomes to be the rule, not the exception. Moreover, the extension of this concept creates an environment where APHIS multidisciplinary teams utilize specific talents and skills from wherever they reside, regardless of location or employer. At the national level, there is a need for the creation of multidisciplinary teams to work on complex problems and develop integrated database that would help managers reach a scientifically-based decision and policy.

An action plan has been drafted for shared leadership through teamwork as a result of the APHIS Vision Conference. This draft has benefitted from that action draft plan and is designed to utilize the same approach and strategy, and it is considered to be an integral part of that vision. While its emphasis was the change of APHIS to an organization with shared leadership through team work, the emphasis of this scientific teams work draft is on the

formation of interdisciplinary scientific teams which utilize special individuals that reside across and beyond APHIS, i.e., in any public or private institutions.

Because different governmental agencies and private parties are involved in managing animal and plant resources, there is a tremendous amount of information available. However, this information is fragmented, duplicated, not necessarily complementary and in some cases impossible to assess. Such fragmentation, coupled with the scarcity of economic and social parameters within the developed data indicate inefficiencies conflicting efforts, high scientific and management costs and missed opportunities to provide quality services to customers. There is a need to develop information on animal and plant health sciences in an integrated comprehensive manner that enables us to develop and communicate future projections holistically. For example, one of the national goals in scientific research is to develop integrated ecosystems for managing natural resources.

Integrated knowledge is needed in order to address emerging issues and complex problems in order to reach scientifically based decisions and policies. Currently, there is very little research directed at helping managers modify management strategies to respond to new scientific or social information.

Interdisciplinary teams of physical, biological and social scientists are few. Scientific peer reviews do now adequately reinforce interdisciplinary basic research or applied research to support the technology development essential for innovative management systems.

This is an opportunity for APHIS to lead in this effort, create partnerships with other agencies i.e., ARS, FSIS, NAS, EPA, NIH, universities and industry to identify projects of high visibility and priority as an example of coordinated and integrated system approach.

Scientific Goals

The following are goals consistent with the recommendation of the subcommittee on resource and management research.

1. Development and application of improved methods and technologies in animal and plant health sciences including food and fiber crops, animal diseases and plant pest management, waste management and utilization, fish and wildlife habitats, social sciences and human interactions.

2. Developing integrated decision support systems for evaluating strategies and options.

3. Developing data and information systems for technology transfer.

Factors that will help (with actions to strengthen):

The factors listed in the shared leadership through team work action plan (page 5, 6) Apply

Opportunity to integrate natural and social sciences date bases, which is crucial to addressing emerging issues and complex problems in an integrated holistic approach.

Opportunity for APHIS to play a leading role, with other agencies in carrying and projects of priority to the nation.

Create partnership with other agencies, i.e., ARS, FSIS, FDA, NAS, NIH, EPA, university and industry to identify and set-up projects, of high visibility and priority as an example of coordinated and integrated system approach.

Collaboration allows excellent use of expertise; it is already happening. Make it the rule rather than the exception.

The creation of APHIS Advisory Council (SAC) will enhance scientific development in APHIS. The SAC takes the lead in establishing the ground and gets the commitment of the AMT.

The current advancement of information technology help sharing information and utilize the best technology available in data collection and data management in acquiring information or provide information.

Factors that will hinder (with action to minimize):

Factors listed in the shared leadership through team work action plan page 5) Apply

No effective communication exists between scientists, managers and the public. Make sure that the training emphasizes the importance of communication and its impact on performance customer satisfaction and workforce satisfaction.

Appropriate measurement tools and quality criteria for evaluation are not consistently available.

Each team develops customized accurate valid measurement instrument as part of the work plan.

Turf-conflicts between APHIS units.
Emphasize the concept of one APHIS and even extend to the one nation; lead by example.

Line item funds cannot be utilized in projects other than their arm. Modify the funding process to allow allocation in collaborative work, i.e., core funding.

Long term development is suffering as managers give priority to immediate problems. Managers are to be encouraged to promote long term development while attending to immediate needs.

Implementation of the philosophy of total quality management, i.e., being proactive, prevention of problems rather than reacting to problems will be part of the training.

Lack of common ground between operation staff, scientists and customers effective communication and informative service activities will narrow the gap between these parties.

Current Operating rules are barrier to team work and collaboration. Management and budget will bye involved in shaping up the organizational culture necessary for team work.

Task, Resources, Responsible Person(s) and Deadlines

What are the key tasks?

(The First four tasks are the same as developed for the TBO initiative and are thus not repeated)
I. Task One: Preparing the Ground:

II. Task Two: Gaining Management Commitment:

III. Task Three: Prepare and Conduct APHIS Wide Implementation:

IV: Task Four: Compatible Systems:

V. Task Five: Demonstrating Viability. Identify one or two Key APHIS Pilot Projects of high visibility and priority. Projects are recommended by the SAC and selected by the AMT.

VI. Task Six: Select one project of national priority which requires multidisciplinary integrated approach utilizing physical, biological, and social scientists, nationwide by making partnership with other agencies i.e., ARS, FSIS, FDA, NAS, NIH, EPA, universities and industries i.e. development of an integrated ecosystem for managing animal and plant resources.

VII. Task Seven: Program Review Systematic assessment of scientific projects by appropriate peer review, providing feedback, reinforcement and support.

APPENDIX III
Expand Financial and Other Resources: Draft Plan

Linking agency resources with those of other stakeholders, customers and other agencies, as well as between units, will be valued and encouraged to accomplish the APHIS vision of customer service. Cooperative partnerships will be fostered with external entities having unique resources. These include financial, intellectual and other assets that in combination bring synergy to accomplishing APHIS scientific endeavors. These linkages will augment funding and involve stakeholders and customers in priority setting and planning.

A. Actions:

1. Involve of stakeholders and customers in priority setting and planning.

2. Seek outside funding from stakeholders and user groups to augment internal funding.

    a. Must actively contact stakeholders and develop support for monies to conduct and develop specific research tools.

    b. These 'stakeholders' must be an identifiable agri-business groups or special-interest groups (e.g., sunflower growers, aquaculturists, sierra club) that can provide congressional lobbying and targeted funding for specific research projects aimed at identifying, developing, and alleviating specific pests of agriculturally-related programs.

    c. Actively solicit stakeholder support by conducting 'needs assessments' (surveys) that will enable APHIS to be more responsive to stakeholder needs.

B. Short Term Milestones

1. Identify processes and mechanics through which outside resources can be obtained (Dick Curnow).

    a. Resources - Human

    b. Completion date - April 1996

2. Communicate processes to the program managers within APHIS (Donna Carver).

    a. Resources - Human (within APHIS), $4,000 for distribution of information.

    b. Completion Date - June 1996

3. Affirm legality of accepting outside funds (nonappropriated funds) for individual programs.

C. Long Term Milestones

1. Propose and implement incentives for program managers to acquire outside funding to enhance program mission.

2. Obtain exemption for temporary employees funded by outside entities from FTE ceilings.

APPENDIX IV
Implement a Quality Assurance (QA) Program: Draft

All customers who receive scientific data, products, services or regulatory oversight by any APHIS Unit can be assured that the data, product, service or oversight meets standards. Standards will be internationally recognized as equivalent and will be transparent. Assurance will be afforded through written standards and operational procedures and through the documentation of independent auditing of the QA process.

	Tasks	Responsibility	Resources
1.	inventory status of QA programs in APHIS	QA Champion and team	questionnaire, distribution list
2.	create and convene APHIS QA Council	AMT, QA Champion and team	travel money for QAC members
3.	evaluate QA needs in APHIS	QAC members	travel money for QAC members
4.	inventory QA resources (internal and external to APHIS)	QAC members	travel money for QAC members
5.	seek acceptance of QA in APHIS through awareness and education	QAC members and AMT	experts/trainers
6.	demonstrate management commitment to QA in APHIS	AMT	$$$ for implementation of QA
7.	develop Unit-specific written standards and QA procedures and implement	QAC and Unit Team Leaders	time and $$$
8.	harmonize QA procedures as much as possible within and outside APHIS	QAC members	time
9.	conduct periodic reviews to assure	QAC members	travel money for reviewers

APPENDIX V
Goal #2:

Program delivery is continually improved through a technological infrastructure that enhances the acquisition, development and dissemination of scientific technical and administrative information.

TASK ONE: Institute a performance measurement program for the Information Technology Services organization to determine the relationship between inputs, outputs, outcomes, and impact.

1. Sub-Task one: Develop Survey Instruments. ITS needs input from its customers and employees to determine how well the organization is servicing the customers. To do this, two separate survey instruments will be developed. One to obtain feedback from the external customers, and one to obtain input from the internal customers (ITS employees).

Resources (People, $, and other - include where the resources will come from)
ITS - Co- lead the project and staff teams
PPD - Co-lead and staff teams
APHIS - Employees participate in FOCUS groups

Who is responsible? (For seeing that the tasks are completed - Include connections with other teams when needed)
ITS with PPD support

When is it due?
Early Second Quarter FY96

2. Sub-Task two: Establish Baseline(Customer Satisfaction). Disseminate the survey instruments to a random population to obtain a set of data. This data will be used as a foundation for comparison to the results of future surveys.

Resources (People, $, and other - include where the resources will come from)
ITS - Co- lead the project and staff teams
PPD - Co-lead and staff teams
APHIS - Employees complete survey (random selection)

Who is responsible? (For seeing that the tasks are completed - Include connections with other teams when needed)
ITS with PPD support

When is it due?
Mid-third Quarter FY96

3. Sub-Task three: Report Customer Satisfaction. Issue the survey to the customers and employees. Then compare with the baseline and prepare a report with the findings from the survey.

Resources (People, $, and other - include where the resources will come from)

ITS - Co- lead the project and staff teams
PPD - Co-lead and staff teams
APHIS - Employees complete survey (random selection)

Who is responsible? (For seeing that the tasks are completed - Include connections with other teams when needed)
ITS with PPD support

When is it due?
Fourth Quarter FY96

4. Sub-Task four: Institutionalize Monitoring System. The system for monitoring performance is documented. It is established as an organizational tool for determining adequacy of service.

Resources (People, $, and other - include where the resources will come from)
ITS - FPS
APHIS - Customers complete survey (random selection)

Who is responsible? (For seeing that the tasks are completed - Include connections with other teams when needed)
ITS-OD

When is it due?
End of FY97

TASK TWO. Institutionalize an Agency wide integrated planning method which includes regular priority setting for new initiatives in the information technology area.

1. Sub-Task one: Develop methodology for an Agency-wide approach. The APHIS management team will select a employees to work with ITS on the development of an IT Plan. These employees will meet in early January, 1996 to discuss the approach. Following this meeting, a plan will be formulated that will be linked to the Agency's Vision and Strategy to guide IT in the one APHIS direction.

Resources (People, $, and other - include where the resources will come from)
ITS - Lead project
Program - Provide team members
Business Advisory Team - Advise on Program direction
PPD - Coordinate for overall APHIS direction
AMT - Select Program membership in the planning team

Who is responsible? (For seeing that the tasks are completed - Include connections with other teams when needed)
ITS
Program representatives

When is it due?
Second Quarter FY96

2. Sub-Task two: To be determined

Resources (People, $, and other - include where the resources will come from)
ITS - Lead project

Who is responsible? (For seeing that the tasks are completed - Include connections with other teams when needed)
ITS

When is it due?

TASK THREE. Implement an integration plan for the implementation of the information technology project slate and the existing installed technologies in conjunction with the introduction of new technological infrastructure elements obtained via the Integrated Systems Acquisition Project (ISAP) contract.

1. Sub-Task one: Planning and coordinating the start of the top 28 items in the Project Slate. The PLT will scope each project and develop requirement to start the projects.

Resources (People, $, and other - include where the resources will come from)
ITS-PLT

Who is responsible? (For seeing that the tasks are completed - Include connections with other teams when needed)
ITS-CIO

When is it due?
End of second quarter FY96

2. Sub-Task Two: Develop and Communicate the vision and goals. The Project Leadership Team of ITS will develop a vision statement for the integration of ISAP and the Project Slate, and will promulgate it APHIS-wide.

Resources (People, $, and other - include where the resources will come from)
ITS-PLT

Who is responsible? (For seeing that the tasks are completed - Include connections with other teams when needed)
ITS-PLT

When is it due?
Early Second Quarter 96

3. Sub-Task three: Communicate to customer the priority and status of projects. The results of the scoping effort on the items in the Project Slate will be documented. This information will be made available to employees through various media, e.g. newsletters, user groups, bulleting boards.

Resources (People, $, and other - include where the resources will come from)
ITS Employees

Who is responsible? (For seeing that the tasks are completed - Include connections with other teams when needed)
ITS-PLT
ITS Marketing Team
LPA

When is it due?
Through Fourth Quarter 96

TASK FOUR. ITS will lead an effort to establish an APHIS way for interconnecting and communicating between APHIS offices. This APHIS way will be the APHIS Wide Area Network.

1. Sub-Task one: Coalition Building with USDA Agencies. Establish a process that allows for the sharing of communications facilities in USDA or with other Departments. The emphasis will be on the consolidation and concentration of transportation services.

Resources (People, $, and other - include where the resources will come from)
ITS-CIO
ITS-PLT
ITS-Functional Areas

Who is responsible? (For seeing that the tasks are completed - Include connections with other teams when needed)
ITS-CIO

When is it due?
Early second quarter FY96

2. Sub-Task two: Evaluate the need for FTS2000 electronic mail services. The Agency uses several electronic mail services capabilities. Evaluate the use of these services and reduce or eliminate those that duplicate others or are more costly.

Resources (People, $, and other - include where the resources will come from)
ITS-PLT
ITS-Functional Areas

Who is responsible? (For seeing that the tasks are completed - Include connections with other teams when needed)
ITS-PLT

When is it due?
Fourth quarter FY96

3. Sub-Task three: Assess effective use of current transports. Evaluate, and eliminate or merge current communications transports to reduce costs and implement a WAN that focuses on the one APHIS concept.

Resources (People, $, and other - include where the resources will come from)
ITS-PLT
ITS-Functional Areas

Who is responsible? (For seeing that the tasks are completed - Include connections with other teams when needed)
ITS-PLT

When is it due?
Fourth quarter FY96

4. Sub-Task four: Identification and documentation of all of APHIS communication capabilities. Identify all methods that Programs use to send data from one location to another. Establish a database with this information to serve as a baseline for an enhance network.

Resources (People, $, and other - include where the resources will come from)
ITS employees

Who is responsible? (For seeing that the tasks are completed - Include connections with other teams when needed)
ITS-PLT

When is it due?
End of second quarter FY96

Valuing People Through
Continual Learning Action Plan
December 11, 1995

"Demonstrate, promote, and facilitate continual learning as a business strategy needed to exceed our customers expectations and survive and thrive in an environment of accelerated change."

APHIS Change Agenda, 1995

BACKGROUND

All organizations, public and private, must face the fact that " change" is not just a temporary condition. Change is going to be the context in which we work and will be the one constant that we can depend upon! Building higher levels of organizational adaptability to deal with rapidly changing demands and subsequent competition is one of the most significant challenges organizations have to address as they move into the 21st century.

If you find that a little hard to "buy" and find yourself saying, "This too, shall pass," take a look a three major forces (and there are plenty of others) that are reshaping our world, our work, and the way we live.

1. PEOPLE
Human beings have been around for maybe 7,000,000 years but the population of the planet didn't reach a billion until the early 1860's. Within the short span of a mere 75 years, the head count doubled. By 1975, it doubled again-this time in only 50 years. Today, we're closing in on six billion, with the U.S. Census statistics predicting a world population of 10 billion by the year 2040.

2.TECHNOLOGY
Since technology is a product of human beings, we could expect that the rate of technological change could follow the trends in population growth. And that is precisely what's been happening! Well over 80% of the world technological advances have occurred since 1900. With still more people to come-and because technology actually feeds on itself-a rapidly accelerating rate of technological change is basically guaranteed.

3. INFORMATION

Did you know that there was more information produced in the 30 years between 1965 and 1995 than was produced in the entire 5,000-year period from 3000 B.C. to 1965!!!! Prevailing thinking suggests that the amount of information available in the world is doubling every five years. (Now you know why your in-box and e-mail's so overwhelming!) Plus, all this knowledge and information is becoming available to many more people than it ever reached before. So, far more knowledge, reaching far more people far faster than ever before.... *

If you still see a quiet, stable, unchanging world and world of work out there, even after hearing about these forces of change, then we really do have a lot of work to do. However, the real point to make here is that organizations which are able to institutionalize processes and opportunities to manage change (particularly people, technology and information); which can transform themselves in ways more satisfying to their customers; and which recognize the necessity and value of the collective intelligence and the contributions of all their members in doing so, will be the organizations which survive and flourish. (And we want that to include APHIS)! Organizations which end up relying on imposing change in a moment of crisis and threatened survival, and spending hours cultivating "buy-in" and overcoming resistance, will fall well behind those which are responsibly and continuously aware of and interacting with the major forces of change.

The ability and willingness to learn collectively, and to use that collective learning for the purpose of **MAKING CHANGES** which are responsive to customers is what happens in a "learning organization." Learning organizations consciously and deliberately create sustainable environments, favorable to learning at every level in the organization. **All members, regardless of background or position, are connected with the vision, mission and strategic objectives of the organization, both individually and collectively. They conduct business with a shared sense of purpose and accountability.** Members are also proactive in identifying and generating those areas where they require new skills and new information; they seek out opportunities to try something new. They take risks, explore and learn from their experiences. They discover organizational excellence by continuously rethinking what they do, how they do it, and how they might do it better. They do this for their own growth and betterment, and they do it, most importantly, for the benefit of the public their organization serves.

*(Source: The Stress of Organizational Change, Price Pritchett & Ron Pound, 1995)

CURRENT APHIS REALITY

It might be tempting to say that APHIS is already a learning organization and that the idea of continual learning is not new. People have engaged in continuing education in order to stay abreast of developments in their profession. Many organizational members have participated in training and educational programs. Self instructional and computer based training have been used for years. The 1988 re-organization of APHIS established a training and development division to further demonstrate APHIS's commitment to employee development. Most recently, APHIS has provided continuing support for reinvention laboratories consistent with the National Performance Reviews goals of streamlining service and strengthening customer satisfaction. Individuals within those labs are having powerful (and empowering) learning experiences and successes. In addition, APHIS has been recognized for productive innovations and changes it has made in such things as administrative processing and rule-making. So what's the point?

Organizational learning is not simply the sum of what each member knows, or experiences. And though the opportunity for individual learning and experience is essential for organizational learning it is not a sufficient condition for organizational learning, nor the sole characteristic of a learning organization or its members. Equitable access to the **right** information about vision, mission, and shared purpose and priorities, the ability to interpret and responsibly act upon that information for the organization and for the customer, and the opportunity to learn from both the failures and successes of those actions are characteristics of learning organizations. And, being honest in our reflection on what we have learned from our (recent) past experiences: we haven't always been able to agree on shared priorities. Information sharing hasn't always occurred. Extending the freedom to act (**responsibly and accountably) to front line-employees** didn't always occur (because our priorities were conflicting). And, so we weren't able to maximize the contribution of what all members have to offer to the extent that we now desire and need it.

Looking honestly at currently reality is not meant to appear as an indictment of past efforts, nor does it detract from the very real past and current accomplishments of many hardworking members, well-intentioned leaders, and a very successful history. However, it is meant instead to be a model of true organizational learning: we collectively see the complexity and scarcity facing APHIS, we see the challenge ahead if we want to stay competitive and satisfy new global and customer demands which are facing the organization. **We can see that some ways which served us in the past will not serve us in the future and that we cannot afford fragmentation and divisive approaches. We know that we need to focus the talent and collective energy of everyone if we are going to succeed.** Opportunity for learning and information sharing about what is going on in the organization, what is occurring as a result, and what else needs to occur, **must cross programmatic, professional,**

organizational, and individual boundaries. And that will change what, how, and why we learn and the way we contribute in a learning organization.

OUR FUTURE REALITY AS A LEARNING ORGANIZATION

A Learning Organization starts with individuals, they are at the heart of and the essence of it. Having a vision and eye toward building a learning organization, APHIS ensures that its members are an integral part of the change process and that they help establish the architecture and mechanisms for institutionalizing the change management process. They are encouraged to learn individually and together--from their daily work experience-- from experimenting with a new practice, procedure or protocol. They are free to access and generate information across the organization and outside of the organization. They do this to learn themselves and to help the organization learn. They do this to ensure innovation occurs "as we go", so that customers receive the best of what APHIS and APHIS people have to offer.

So that you have a clearer idea of what organizational learning looks like when it occurs, we have enclosed an article by Dr. Nancy Dixon at the end of our action plan which further describes the Organizational Learning Cycle depicted below.

ORGANIZATIONAL LEARNING CYCLE

1) Widespread Generation Of Information

2) Integrate New/Local Information Into The Organizational Context

3) Collectively Interpret Information

4) Authority To Take Responsible Action On The Interpreted Meaning

In this 4-step model, learning is seen as an "action-oriented", not a " passive" process, where **1)** information "outside" and "inside" APHIS is **collectively gathered** by employees at all levels and in all APHIS units/programs, then **2) integrated** so that all parts of APHIS have access to this information which, like pieces of a jigsaw puzzle, can be integrated into a "big picture". Specialization can increase efficiency - but information must cross boundaries and be shared to facilitate understanding. Information is then **3) collectively interpreted** through extensive and continuing dialogue across the organization - where "turf" and hoarding of information is no more - where individuals provide each other with accurate and complete information that bears upon the issues at hand. 4) The fourth step, **authority to take responsible action**, means that employees who understand what needs doing will not be prevented from acting on that knowledge. APHIS will encourage its employees to collectively do what needs to be done.

Now let's look at how this organizational learning cycle can work here in APHIS in the future:

Meet Jo Dobee, an APHIS organization member located somewhere in the heartland. Jo has been assigned to a work on a committee. As a good committee member, Jo finds out what the committee has done so far by connecting with them electronically. They all share the information they have on what needs to be done, the committee's goals, and what kind of product they wish to create. Committee members come from all across the organization. All of them are working on numerous projects, but they each have special interests and skills that bring them to this one. They talk and E-mail each other and also gather information from other parts of the organization, from APHIS customers and stakeholders interested in this issue.

Jo and her committee gather most of this information from their workstations, work sites in their homes, even while they are on travel . Because they are connected electronically, they can quickly collect the relevant info and begin discussing how it relates to APHIS' overall vision and priorities. The committee is engaged in intense discussion about what all this information means to them and the Agency. If they have questions or need more data, they can quickly connect with others in APHIS or outside and ask the important questions. The committee may bring customers or outside experts into their meetings via E-mail or video conferencing. They take advantage of the numerous ways they can connect with resources and gather information.

As they discuss the implications of all the information and examine the many options, they realize how much they are learning from each other, from others sprinkled across APHIS, and even valuable outside resources. **And all this learning is occurring in just a few days, or even a few hours.** Committee members are learning while they work, work and learning become the same thing. The committee is now ready to take action based on the information they have gathered and analyzed. Working as a

team, they reach consensus on what to do and then communicate their decision to all the key players electronically in just a matter of minutes.

The fundamental strength of this committee is they are **learning together as they collect, interpret and take action on the information they gather.** Another strong advantage for APHIS is they are sharing their insights with numerous employees electronically. They are also sharing their insights with APHIS customers and stakeholders. **Jo and her committee have traveled through the entire learning cycle.** They gathered information, understood how it relates to their work, interpreted and analyze it together, and collectively decided what action to take. By moving through the learning cycle they created a valuable product. Once they have shared their results with APHIS and those outside the organization, the learning cycle can start again for them on a new project.

The characteristics which must exist in an organization for Jo Dobee and her committee to use the Organization Learning Cycle the way we did is reflected as the FUTURE in the chart below. By becoming a learning organization, APHIS is moving from where we are today (**Current**) towards the characteristics listed under FUTURE, where everyone will have the means to learn together, jointly take actions based on that learning, and share the lessons and insights of that learning with the whole organization.

CURRENT (Moving From Today.....)	**FUTURE (Toward.....)**
Procedure driven	Market driven
Competition	Collaboration and co-creation
Conflict avoidance	Learning from conflict
Short sightedness	Vision and organizational focus
Training	Learning
Routine	Dealing with exceptions, continuous improvement
Generating information within organizational boundaries	Generating information across the organization
Upper management provides information	All parts of the organization provide all other parts with information

Refraining from saying what others do not want to hear	Freedom to speak openly and frequent dialogue

SUMMARY

So then, imagine APHIS as a place where we all appreciate the need for innovation, sharing information, and change, where we relinquish "territory" and control, where we collectively recognize that new products and new approaches are natural, normal and expected. Changing things and doing things in a new way are not indictments that past performance was inadequate. But our mission today requires that together we bring to bear our multi disciplinary skills and collective intelligence to address complex issues and provide innovative solutions. As a result of our front line interactions with customers and stakeholders we will be recognized globally for our flexibility, innovation, and responsiveness. Our desire to listen and learn will pervade everything we do.
If this vision of a future APHIS inspires you, there is a lot for us to do to get started. Below we describe what specific actions the Agency can take to make significant progress towards our vision of APHIS as a learning organization.

RATIONALE FOR ACTIONS

The action steps in our plan to date are initial steps toward building the necessary foundation for a learning organization. They deal largely with building mechanisms, systems and opportunities for organizational members, regardless of position or background, to contribute to organizational improvement and to the shape of our organization's future. The actions do not represent a comprehensive list of all actions that will be necessary over time to institutionalize organizational change and collective learning.

These initial actions are intended to capitalize on people's innate curiosity and desire to experiment. They provide basic tools and ensure sufficient access to information so that organizational members can naturally and safely look for ways to do things differently and better.

Our Action Steps include:

1) Implementing new systems, an understanding of those systems, and use of those systems to meaningfully reward people for actions and ideas contributing to innovation, organizational growth, and mission accomplishment. Activities in this action are focused on the step of the organizational learning cycle which addresses the authority to take responsible action on behalf of the organization.

2) Building a computer supported "Intentional Learning Environment (ILE)", and using information technology to ensure that learning can occur regardless of scarcity, geographical disbursement, or physical boundaries.

3) Ensuring that information about the Vision and Change Agenda is widely generated and disseminated so that (local) collective interpretation and action can occur. Stimulating and facilitating learning opportunities for all organization members by generating information about the specific activities, risks and results that are occurring throughout the organization.

GOAL STATEMENT:

Develop and sustain an environment favorable to learning at every level in the organization where all members, regardless of position and background, are encouraged to experiment and to embrace and lead change, where a passion for continuous self and organizational improvement permeates the (community's) culture. Wide spread generation of information, integration of this information into the organization, and the collective interpretation of this information results in the maximum benefits for the organization and the customers it serves.

INDICATORS OF SUCCESS:

- New products, procedures and policies developed as related to the change agenda. Incidences and reports of "old" practices being revised or relinquished.
- Increase of information exchange, idea generation and requests for assistance across program lines and reports of impact, response and results.
- Learning contracts in use, and increase in incidences of employee exchanges, TDY's and use of APHIS information center.
- Demonstrated ability and incidence of organization members recognizing and working out problems on a "local level".
- Use of " News Groups" and other mechanisms which have been put in place to generate information.
- Use of the Skills Bank, the number of employee exchanges and involvement on projects with broad organizational impact. (Relates to integrating local information into larger organizational context)
- Experiments taken based on local interpretation of the Vision and Change Agenda and the benefits and improvements these have produced for the larger organization.

- Percentage of APHIS Headquarters and Field (offices and home work-sites) that are connected to a APHIS wide information technology infrastructure. (Compare % of APHIS employees having access today, to % in 6 months, to % in one year)

- Changes in the physical layout of ITS and OPD that improves teamwork, collaboration and working across units.

MEASUREMENTS

- Individual reports and focus groups discussing key indicators of a "learning organization"

- Progress surveys

- Reports from individuals and teams

- Percentage of APHIS employees that are connected to APHIS information technology infrastructure (current % of organization members connected, % in 6 months, and % in one year.)

- Number of individuals working in cross unit teams.

HELPING AND HINDERING FACTORS

Listed on the next page are factors that currently exist in APHIS that "will help" the development of an APHIS wide continual learning organization and those factors that "will hinder" our movement towards a "learning organization". Our goal is to take advantage of the helpful factors and then address and resolve those factors that will hinder our implementation effort.

Factors that will help:	Factors that will hinder:
• Strong Senior leadership commitment to learning and the recognition that the organization's capacity to survive and flourish is linked directly to the strength of each person's capacity. • Emerging recognition that "old ways" won't take us into the future. • ITS, The APHIS Information Center, expanded use of multimedia, video conferencing, Internet, and other technologies. • Other vision elements including , Science & Technology, Teams & Leadership, Innovative Regulatory Approaches, and the overall vision & focus • OPD capacity • Capacity and capability of our organization's people • Scarcity, both in fiscal and human resources dictate the need for new and expanded self and organization thinking and mastery. • Enormous opportunity within the organization for learning, experiences, collaboration and co-creation • Customer expectations and pressures mean today's organization must be smarter, faster, and more cost-effective. • Current White House initiatives include re-invention labs and support for new and better ways of doing business.	• Old paradigms in the minds of both leaders and the organizational members that training is the only way to learn. • Given old paradigm, leadership (including existing cadre of supervisors) use scarce fiscal resources as an "excuse" for minimizing learning opportunities for the organization. (e.g. can't spare scarce workers for projects & helping others) • Learning is not yet seen as "productive labor"; sharing of information collectively interpreting and acting upon it is not seen as productive or efficient. • Information technology is not yet available/accessible for all so disseminating information about the organization's changes and learning opportunities, or accessing alternative learning resources is not yet a possibility. This transitional period requires diffusion through electronic , paper, and other systems which slows things down and does not facilitate equal access. • Pockets of resistance, lack of awareness and agreement around the need to change, particularly in the area of "personal responsibility" for learning and growth. • Mistakes are still punished rather than used as opportunities for learning and development. • Systems are not aligned to reward continual learning efforts. • Old paradigm "of information is power" and concern over the organization's members of "responsibly handling information"

Factors that will help:	Factors that will hinder:
Actions to take to support these factors:	**Actions to take to minimize these factors:**
• Action steps taken are to mitigate against the hindering forces. Efforts undertaken in the other strategies, e.g. Teamwork , Achieving The Vision, and Global Interests should also help to "smash" old paradigms and establish new modes of acceptable behavior and accountability.	

Key Actions -

Action One

Implement new systems, an understanding of those systems, and use those systems to meaningfully reward people for actions and ideas contributing to innovation, organizational growth, and mission accomplishment. Activities in this action are focused on the step of the organizational learning cycle which addresses the authority to take responsible action on behalf of the organization.

- Develop a mechanism to routinely publicize and acknowledge a leader's effort to support cross-cutting teamwork. Convey to leaders at all levels that they will be held accountable for this type of activity.

- Strengthen the current "employee suggestion" system, focus suggestions on Change Agenda elements and re-invention, and build new criteria; publicize in connection/conjunction with organizational leaders "innovation fund".

- Foster and publicize on the local levels and through various mechanisms "pat on the back" systems and recognition (non-monetary) for employees engaged in outside volunteer work, community service, and other learning opportunities.

- Develop a pilot project in ITS and OPD to restructure their work environment to encourage more team work and collaboration (more shred work space, fewer cubicles, more "team" tables where people can work together) (This action supports being able to institutionalize the Organizational Learning Cycle at headquarters and ultimately across the organization. The current physical structure does not enhance face-to-face knowledge/information sharing across organizational boundaries).

- Implement measures to ensure that cost effective opportunities are publicized and encouraged throughout the organization. Promote understanding and support of "learning as an investment" and organizational asset so that even during times of scarcity and fiscal constraints, necessary learning can occur. By implementing this measure we establish trust among organization members and leaders.

WHO: OPD, HRD, Champions, current leadership and organizational members, MSD, WFDSC, WFLSC,

RESOURCES: Same as above. No monetary estimate can be given this time for the reconfiguration of OPD and ITS but it is our hope that reconfiguration will not create additional expenditures.

DUE DATE: 12/96

COORDINATION REQUIRED: As above and with leadership and teams, achieving the vision, integration team -would like HRD Director to screen before finalizing

Tasks, Resources, Responsible Person(s) and Deadlines

What are the key tasks? (List key milestones)	**What resources do you need?** (People, $, and other--Include where the resources will come from)	**Who is responsible?** (For seeing that the tasks are completed--Include connections with other teams when needed)	**When is it due?**
Action One Implementing new systems, an understanding of those systems to meaningfully reward people for actions and ideas contributing to innovation, organizational growth, and mission accomplishment. Activities in this action are focused on the step of the organizational learning cycle which addresses the authority to take responsible action on behalf of the organization. 1) Develop a mechanism to routinely publicize and acknowledge a leader's effort to support cross-cutting teamwork, convey to leaders at all levels that they will be held accountable for this type of activity. 2) Strengthen the current employee suggestion system, focus on suggestions on Change Agenda elements and re-invention, and build new criteria; publicize in connection/conjunction with organizational leaders "innovation fund". 3) Foster and publicize on the local levels and through various mechanisms "pat on the back" systems and recognition (non-monetary) for employees engaged in outside volunteer work, community service, and other learning opportunities. (Action One Continued.....)	OPD, HRD, Champions, current leadership and organizational members, MSD, WFDSC, WFLSC	Same as "resources" listed	12/96

Tasks, Resources, Responsible Person(s) and Deadlines

What are the key tasks? (List key milestones)	**What resources do you need?** (People, $, and other--Include where the resources will come from)	**Who is responsible?** (For seeing that the tasks are completed--Include connections with other teams when needed)	**When is it due?**
(Action One Contin...) 4) Develop a pilot project with ITS and OPD to restructure their work environment to encourage more team work and collaboration. (This action supports being able to institutionalize the Organizational Learning Cycle at headquarters and ultimately across the organization. The current physical structure does not enhance face-to-face knowledge/information sharing across organizational boundaries.) 5) Implement measures to ensure that cost effective opportunities are publicized and encouraged throughout the organization. Promote understanding and support of "learning as an investment" and organizational asset so that even during times of scarcity and fiscal constraints, necessary learning can occur. By implementing this measure we establish trust among organization members and leaders.	OPD, HRD, Champions, current leadership and organizational members, MSD, WFDSC, WFLSC No monetary estimate can be given at this time for the reconfiguration of ITS and OPD. It is our hope that no additional expenditures will be created.	Same as "resources" listed and	12/96

Action Two

Build a computer supported "Intentional Learning Environment (ILE)" and use information technology to ensure learning can occur regardless of scarcity, geographic disbursement or physical boundaries. In an ILE, you can focus on opportunities for collaborative learning and building an ever increasing knowledge base for the organization community.

- Complete and distribute "Learning Resources Summary " prepared by LEAD participants. Distribute on-line to those APHIS organization members with electronic access.

- Develop an APHIS Skills Bank and a Projects/Help Wanted Bulletin board for employee exchanges. Develop a mechanism for transferring that new experience into the larger organizational context.

- Develop and disseminate information about Learning Organizations and the availability of self development resources and technology which enables all members to take responsibility for their own personal growth and learning.

- Champion/influence , to the greatest extent possible, completion of an IT infrastructure that facilitates access across organization to all members so that they can share knowledge, information, and resources.

- Promote use of learning contracts and self assessment of learning styles.

- Develop an information sharing process to share information with all of APHIS on successes, lessons learned, and results that groups learned. Groups, such as "APHIS Re-invention Advocates" and the "APHIS Re-invention Laboratories" can begin sharing their common successes and insights with all APHIS organization members.

WHO: OPD, ITS, APHIS Information Center, Work and Family Life Steering Committee (WFLSC), Workforce Diversity Steering Committee (WFDSC), LEAD participants, Women's Advisory Committee, Champions of the Change Agenda, "One APHIS " committee organization members, and Re-invention Advocates.

RESOURCES: Same as resources as above. Utilize FY 96 Long Distance Learning Initiative fund as seed money. *

DUE DATE: On going, meeting is scheduled for mid October w/ WFL and WFDSC to initiate work on skills back and bulletin board, LEAD. participants have almost completed Learning Resources Summary

COORDINATION REQUIRED: ALL TEAMS and ITS. ITS collaboration is a critical link for the information technology infrastructure required for organizational learning and for laying the foundation of a learning organization.

* We view the $60 million estimated for ISAP implementation as contributing to this action.

Tasks, Resources, Responsible Person(s) and Deadlines

What are the key tasks? (List key milestones)	**What resources do you need?** (People, $, and other--Include where the resources will come from)	**Who is responsible?** (For seeing that the tasks are completed--Include connections with other teams when needed)	**When is it due?**
Action Two: Build a computer supported "Intentional Learning Environment (ILE)" and use information technology to ensure that learning can occur regardless of scarcity, geographical disbursement, and physical boundaries. In an ILE, you can focus on opportunities for collaborative learning and building an ever-increasing knowledge base for the organizational community. . 1) Complete and distribute "Learning Resources Summary" . Distribute on-line to APHIS organization members with electronic access. 2) Develop an APHIS Skills Bank and develop a Projects/Help Wanted Bulletin Board for promotes employee exchanges. Develop a mechanism for transferring that new experience into the larger organizational context. 3) Information development and dissemination for broad use about "Learning Organizations"; availability of self development resources which enables and encourages all members to take responsibility for their own personal growth and learning. (Action Two Contin...)	OPD, ITS, APHIS Info Center, Work Family Life Steering Committee (WFLSC), Workforce Diversity Steering Committee (WFDSC), LEAD participants, Women's Advisory Committee (WAC), Champions of the Change Agenda, "One APHIS" committee organization members. Utilize FY 96 Long Distance Learning initiative Fund as seed money. *	Same as "resources" listed	On-going

* We view the 60 million estimated ISAP implementation as contributing to this action.

Tasks, Resources, Responsible Person(s) and Deadlines

What are the key tasks? (List key milestones)	**What resources do you need?** (People, $, and other--Include where the resources will come from)	**Who is responsible?** (For seeing that the tasks are completed--Include connections with other teams when needed)	**When is it due?**
(Action Two Contin.....) 4) Champion /influence, to the greatest extent possible completion of an IT infrastructure that facilitate access across the organization to all members so that they can share knowledge, information, and resources. 5) Promote use of learning contracts and self assessment s of learning style. 6) Develop an information sharing process to share information with all of APHIS on successes, lessons learned, and results that groups learned. Groups , such as the "APHIS Re-invention Advocates," and the "APHIS Re-invention Laboratories" can begin sharing their common successes and insights with all APHIS organization members.	OPD, ITS, APHIS Info Center, Work Family Life Steering Committee (WFLSC), Workforce Diversity Steering Committee (WFDSC), LEAD participants, Women's Advisory Committee (WAC), Champions of the Change Agenda, "One APHIS" committee organization members, and Re-invention Advocates. Utilize the Long Distance Learning Initiative Fund as seed money. *	Same as "resources" listed	On-going

* We view the 60 million estimated ISAP implementation as contributing to this action.

Action Three:

Ensure that information about the Vision and Change Agenda is widely generated and disseminated so that (local) collective interpretation and action can occur. Stimulate and facilitate learning opportunities for all organization members by generating information about the specific activities, risks and results that are occurring throughout the organization.

Specific tasks include the generation and dissemination about these key actions of the Change Agenda and the effect and impact they are having on changing APHIS, changing the nature of its work, and ensuring that organizational members are in alignment with the Vision. Each of the activities is considered as a training and learning opportunity. Each will engage individual members across the boundaries of the organization.

- Local Vision Launch efforts and workshops (week of January 22)
- Science Leadership Conference
- Progress on The Partnerships in Global Agriculture Initiative
- Conflict Prevention Initiative and Services (See attachment at end of this plan)
- TBO systems and training initiative ensure that evaluation and learning in each local effort is surfaced and shared (and consistent with any confidentiality that was agreed upon)
- Change agent training and facilitator training
- Regional Restructuring Committee support

The generation and dissemination of this information the collective interpretation and learning is not limited to those "events" listed. Additions will be made as new activities (hopefully) spring up and support will be provided so those efforts can generate and disseminate information as well.

In support of the above mentioned actions, within existing resources,

- Coordinate the continual learning evaluation activities related to the Change Agenda, APHIS mission, and re-invention.

WHO: OPD Staff, champions, organization members

RESOURCES: OPD staff, Champions of Change Agenda elements, support from organization for broad involvement and participation

DUE DATE: Started and on-going

COORDINATION REQUIRED: ALL Strategy Teams

Tasks, Resources, Responsible Person(s) and Deadlines

What are the key tasks? (List key milestones)	**What resources do you need?** (People, $, and other--Include where the resources will come from)	**Who is responsible?** (For seeing that the tasks are completed--Include connections with other teams when needed)	**When is it due?**
Action Three: Ensure that information is widely disseminated and generated about the Vision and Change Agenda so that (local) collective interpretation and action can occur. Learning opportunities for all organization members will be stimulated and facilitated by further generating and disseminating of information about the specific activities, risks, and results that are occurring throughout the organization Specific tasks include the generation and dissemination about these key actions of the Change Agenda and the effect and the impact they are having on changing APHIS, changing the nature of its work, ensuring that organizational members are in alignment with the Vision. Each of these activities is considered a learning opportunity . Each will engage individual members across the boundaries of the organization. 1) Local Vision Launch efforts and workshops. (Week of January 22, 1995) 2) Science Leadership Conference (Action Three Continued...)	OPD staff, Champions of Change Agenda elements, support from the organization for broad involvement and participation.	OPD Staff, Champions, and organization members.	Started and on-going basis

Tasks, Resources, Responsible Person(s) and Deadlines

What are the key tasks? (List key milestones)	**What resources do you need?** (People, $, and other--Include where the resources will come from)	**Who is responsible?** (For seeing that the tasks are completed--Include connections with other teams when needed)	**When is it due?**
(Action Three Contin...) 3) Progress on The Partnerships in Global Agriculture Initiative 4) Conflict Prevention Initiative and Services (See attachment at end of this plan) 5) TBO systems and training initiative, , ensure that evaluation and learning in each local effort is surfaced and shared (and consistent with any confidentiality that was agreed upon) 6) Change Agent training and facilitator training 7) Regional Restructuring Committee support In support of the above mentioned actions, within existing resources, 8) Coordinate the continual learning evaluation activities related to the Change Agenda, APHIS mission, and re-invention.	OPD staff, Champions of Change Agenda elements, support from the organization for broad involvement and participation.	OPD Staff, Champions, and organization members.	Started and on-going basis

Self Assessment of Strategy Action Plans

Mark the number on the assessment scale that best reflects your team's assessment of the plan for each guideline and for the first two guidelines, explain the rating you gave in the space provided:

Guidelines	Rating Low Med High
Rate your plan on its focus on customers/stakeholders:	
Produces better results for APHIS customers and stakeholders Explain: Key focus on collective interpretation and action on information ensures consistency of messages, timely responses, and constancy of purpose. Enables collective actions internally, opportunities to take multi disciplinary and collaborative approaches to work.	1 2 3 *4 5
Improves service to APHIS customers Explain: Key focus on the organizations collective interpretation and action on information ensures consistency of message, timely response and constancy of purpose. Enables collective engagement and partnerships with new/old customers.	1 2 3 *4 5
Builds customer/stakeholder alignment	1 2 3 4 * 5
Rate your plan on how it contributes to the APHIS Mission/Vision:	
Contributes to the APHIS mission	1 2 3 4 *5
Contributes to the APHIS vision	1 2 3 4 *5

Self Assessment of Strategy Action Plans

Mark the number on the assessment scale that best reflects your team's assessment of the plan for each guideline:

Guidelines	Rating Low Med High
Rate your plan on its feasibility:	
Feasible to accomplish	1 2 3 *4 5
Rate your plan on its focus on employees and empowerment:	
Likely to gain employee buy-in	1 2 3 *4 5
Empowers employees to fulfill the vision/mission	1 2 3 *4 5
Rate your plan on its results focus:	
Produce early visible successes	1 2 3 *4 5
Likely to succeed overall	1 2 3 *4 5
Produce a broad impact	1 2 3 4 *5
Produce long-lasting results	1 2 3 4 *5
Maintains a focus on results	1 2 3 *4 5
Avoid unintended negative consequences	1 2 3 *4 5
Aligns systems/structures and processes	1 2 3 * 4 5
Rate your plan on its time frames:	
Time frame is vigorous	1 2 *3 4 5
Time frame is reasonable	1 2 3 * 4 5

Use this space for any additional comments about your plan:

CUSTOMER SERVICE STRATEGY
ACTION PLAN

GOALS

1. To prepare employees to provide excellent customer service and deliver the results customers care about through continual learning, empowerment, evaluation, and development of partnerships.
2. To give employees the support and tools they need to understand, refine, and deliver better customer service (program results).
3. To enhance continual improvement by involving customers in defining program goals and measures, collecting data and measuring/monitoring program effectiveness (results), basing program planning decisions on these data, and communicating them to customers.

OUTCOME EXPECTED

APHIS Customers will be served better because employees provide better customer service (program results). Employees will be: listening to what customers want and expect, acting on that knowledge to improve the program of services, and learning from others who are serving similar groups of customers in similar ways.

INDICATORS OF SUCCESS

Each APHIS program will have established a baseline for customer service, be regularly surveying its customers (monitoring program results), planning and implementing improvements based on the results information, and communicating results to customers.

The overall satisfaction level of APHIS customers will be high for all programs and services.

FACTORS THAT WILL HELP:

- A cultural change is taking place in the outside world.
- Customer Service Planning is required by E.O 12862, results monitoring & reporting is required by GPRA.
- USDA and APHIS committees have been established and several units have already started.
- Other APHIS initiatives (Team-based Organization) also require skills in Customer Service.
- FSO's experience can show others.

FACTORS THAT WILL HINDER:

- Getting people to apply the concepts in a regulatory context is difficult.
- Insecurity over job future and the sheer number of change initiatives, makes people unwilling to spend effort on this.
- People are not convinced it is important.
- There is skepticism about change in APHIS because of past initiatives that weren't implemented.
- We have many diverse, scattered employees and lack a single way to communicate with them all.

HELPING FACTORS (Cont.)

- The need to survive in a competitive world makes this strategy important.
- The flexibility in the Customer Service philosophy lets programs build their own standards so they can "own" them.
- The APHIS Vision has this as a central element.
- It makes sense, "Common Sense."
- The flexible regulatory environment we have now supports it more than in the past.

HINDERING FACTORS (Cont.)

- A budget, organization, planning, and training is needed.
- Our diverse customers have conflicting needs and wants and we can't take care of them all at once, if at all.
- The Administration is facing an election with potential for a change in direction.
- There is a natural tendency for people to deal with the friendliest customers first, putting off difficult ones.

ACTIONS THAT ARE SUPPORTED BY THESE FACTORS:

Our proactive approach to integrating Customer Service philosophy throughout APHIS takes advantage of these helping factors.

ACTIONS TO TAKE TO MINIMIZE THESE FACTORS:

Our strategy of phasing things in, building support among middle managers, and rewarding cooperation will help us overcome these factors. We are linked with other Agenda strategies which focus on customers.

KEY TASKS	RESPONSIBILITY/TIMING/RESOURCES
1. Develop definitions of terms used in customer service philosophy to provide a framework for common understanding: Customer, Constituents, Stakeholders	The APHIS Customer Service Working Group (ACSWG) has submitted a draft to the Customer Service Strategy Team (CSST) and the Achieving the Vision Team for the Vision Toolbook.
2. Expand definitions of terms to include those used in results monitoring/measurement.	PPD in conjunction with the CSST by Feb. 1996
3. Develop tools and a strategy/procedure to integrate customer service and results monitoring into program decisionmaking. Base these tools on the experience of the AQI Monitoring Pilot.	PPD in conjunction with ACSWG, the Budget and Accounting Division (BAD), the AQI Program Results Monitoring Team, and the CSST by Feb. 1996
4. Apply these tools and strategies with special focus to one new line item program in each major functional area in the Multiyear Program Planning and Budgeting process and to other parts of the agency as they become ready and request assistance.	PPD will provide consultation to programs, in collaboration with BAD. AMT members will support implementation following the annual budget schedule published by BAD.

KEY TASKS (Cont.)	RESPONSIBILITY/TIMING/RESOURCES
Participating programs will bring customers and front line employees into the planning process to help define program goals and measures, design and implement automated data collection/storage systems, survey customers, measure program effectiveness, identify and execute program improvements, and communicate the results in customer service brochures and Multiyear Plans. Programs representatives will visit each other and learn what works and what doesn't work. Front line employees who have listened to customers and identified needed improvements, but lack funds to make them may apply for small purchase funds.	A total of $35,000 for FY '96 is requested for programs and front line employees who participate. The CSST will receive applications and disburse funds and will have discretion to grant funds to groups that participate in developing and implementing the customer service GPRA results monitoring philosophy, demonstrate a funding need, and show they will further the agency's use of customer information in planning and improving customer relations. Automation of data collection/storage systems for results will require support from the Science and Technology Strategy. Based on program requests, funds may be used for Item 6.
5. Design and develop materials and workshops for orienting APHIS field program managers on the customer service results monitoring philosophy and strategies. Participate in electronic discussions and other forums, contributing ideas on how to support field employees' customer service efforts.	PPD, the ACSWG, and the Customer Service Strategy Team in cooperation with the Achieving the Vision Team and the Team-based Organization Team and others. Ongoing.
6. Assist in making improvements such as 1-800 numbers for customers to make complaints and suggestions or get information, AND handouts and feedback cards for front-line employees to give to customers. Assist programs in conducting projects such as the Reengineering Primary Passenger Processing and the Import Strategic Process Redesign.	PPD, the ACSWG, and various program delivery units. A budget of $10,000 is requested in FY '96 for programs to make improvements in customer service such as installing 1-800 numbers, printing handouts for customers, and so on. It would be dispersed by the CSST as are funds under Item 4 and will serve as an incentive to supplement programs' own spending plans.
7. Evaluate tools and approaches developed during FY 96 and plan improvements for FY 97. Make improvements in tools and approaches.	PPD Planning, Evaluation, and Monitoring in conjunction with BAD, the 6 line items selected above, and the CSST. November, 1996
8. Expand the number of programs doing customer service results monitoring and reporting. Build on the experience of the previous year's pilots.	PPD's Planning, Evaluation, and Monitoring (PEM) and BAD will provide consultation to programs. AMT members will support implementation following the annual budget schedule published by BAD.

Shared Leadership Through Teamwork
Action Plan

Introduction: The Pressure to Change

The National Performance Review (NPR) made explicit what has been increasingly clear over the past 5-10 years to those who are concerned about organizational effectiveness-- the nature of the workplace is changing. This change is in response to numerous pressures, including:

-- global competition
-- customer service expectations
-- opportunities in the area of automation and information technology
-- the nature of work is more complex and more knowledge-based
--workers expectations and capacities are increasing

NPR leveraged that direction by encouraging methods that have been found to be useful in the private sector for making this kind of change by:

-- reducing the layers of management controls;
-- expanding the use of teams;
-- delegating decision making authority to lower levels;
-- encouraging work process re-design;
-- expanding cross-unit cooperation; and
-- emphasizing the need for facilitative and empowering forms of leadership.

On a concrete level, the President issued an Executive Order that forces these changes through reductions in overall employment levels and the number of employees in supervisory positions. Specifically, by 1999 APHIS is charged with reducing the number of supervisors by 50%, the number of positional leaders at grades 14 and SES by nearly 20%, and the overall size of its workforce by several hundred positions. Costs are projected to rise while funding levels are expected to decline.

This sharp reduction in supervisory and managerial positions occurs at a time of mounting pressures on APHIS. For example, under GATT/NAFTA there has been an enormous increase in demands for certifying products for export and import. Meeting such a demand with fewer supervisors is not possible under the traditional hierarchial command and control approach to leadership. The resultant span of responsibilities for a traditional manager/supervisory approach is too great for the efficiency that will ultimately be demanded in the decision making process. Furthermore, the decisions that we make in APHIS are increasingly linked to one another, requiring multiple participants in decision making. Therefore, team approaches increasingly make sense, and when not used, result in fragmented approaches.

In fostering a culture of shared leadership through teamwork, APHIS is committing itself to systemic, process, structural, and behavioral changes at multiple levels of the organization. It is essential, however, that we keep in the forefront the driving impetus for making this change; because, while meeting staff and supervisory reductions may be required, the impetus to move toward this concept actually began within APHIS before NPR. In fact, APHIS experimentation with teams was sited in the NPR as a best practice, to be emulated by other agencies. Since then, many agencies have benchmarked the APHIS experience as a basis for movement to becoming team based. Now, through establishing APHIS as a TBO with shared leadership, the agency believes that it can:

-- increase its capacity to operate in a global environment
-- optimize the use of its resources
-- increase the quality of decision making
-- enhance the services that APHIS customers receive
-- improve the quality and application of science and technology
-- foster continual learning at individual and organizational levels

In other words, by fulfilling its intention to operate as a TBO, APHIS hopes to dramatically improve its business results. **While this sounds good, there remains some confusion as to the definitions of terms such as teams, TBO, and shared leadership.**

What is TBO/Shared Leadership?

The following guiding concepts underlie this plan:

1. Teams are groups of individuals who operate with a significant degree of interdependence in producing a product or providing a service, and share a relative degree of authority for their own self-management.

Not all teams are, nor should they aspire to be, fully self-directing; teams need to decide where they want to be on a continuum of self-direction, based on factors such as the nature of the task, the geographic dispersion of the team, and the readiness of the team members to assume responsibility for collective decision making. Further, many teams tend to mature and evolve over time in a developmental sequence, assuming increasing amounts of control as they gain teamwork skills and develop trust. Allowing that developmental process to occur naturally helps ensure success, which breeds the confidence needed for further development toward high performance.

2. A Team-Based Organization (TBO) is an organization that relies to a significant degree on the use of teams to accomplish its mission. It is therefore an environment which spawns teams within organizational units, as well as across organizational units, where such partnering

enhances the ability to respond to customer needs.

Within a TBO, there are many kinds of teams including:

-- intact work teams: teams with ongoing responsibilities and with the same management reporting relationship

-- cross-unit teams: teams with either temporary or ongoing responsibilities whose members have different management reporting relationships

-- multi-disciplinary teams: teams whose members have various skills and backgrounds, the combination of which is essential for producing a quality service or product

-- project teams: temporary teams to accomplish a specific task and then to dissolve; may be formed from within an intact work team or as a cross-unit team

Not all work within a TBO is performed in teams; there are certain tasks that will continue to rely on individual contributors, and certain situations where a control style of leadership may be more appropriate. However, within a TBO, the use of teams is widespread because they produce greater gains in quality and efficiency.

3. Shared Leadership is the dominant manner by which a TBO operates; through shared leadership, the primary role of the positional leader is to enable teams to perform at optimal levels of productivity, and the primary role of team members is to share in responsibility for determining the direction and manner in which work is done.

Within a TBO, organizational structures and hierarchy continue to exist; however, the boundaries between organizational units become more permeable, and the focus of the hierarchical management structure shifts less to control and more to facilitation, thereby adding greater value to operations.

Therefore, within a TBO there continue to be positional leaders, i.e., those who are charged with formal supervisory authority and responsibility, to whom teams are ultimately accountable. However, teams also exert leadership through the exercise of expanded empowerment, for which they remain accountable.

(A good source on these concepts is : "The Wisdom of Teams" by Jon R. Katzenbach and Douglas K. Smith)

The good news is that APHIS is not just now starting on the road toward becoming team-based, and in fact, many of the benefits of teams are already being realized. The task, then, is to capitalize on our experiences by finding and exploiting other legitimate opportunities to apply the TBO/shared leadership concept.

Current Reality

For the past several years, APHIS has committed numerous resources to changing its dominant leadership approaches and to developing greater capacity for cooperative team-work through shared leadership approaches.

Positional Leadership Development

Major efforts are underway to identify how the role of the positional leaders (i.e., those in supervisory positions) will need to change in this new setting and what competencies will be needed for successful performance. While the intention to change has been articulated, what has been required are specific methods and tools that can help in the identification, selection, training, and rewarding of the desired leadership behaviors. Through several initiatives a variety of promising tools have been used within APHIS, including:

-- an APHIS leadership competency model that defines the core competencies for positional leaders in a TBO/shared leadership environment

-- succession and workforce planning processes that enable overall organizational forecasting of human resource needs

-- software programs (Career Counselor and Human Resource Manager) which will enable better career planning and forecasting of human resource needs

-- a Behavioral Event Interview (BEI) process that is already widely used for selecting leaders based on core competencies

-- assessment tools which provide us with the capability to assess leadership competencies and to conduct 360 degree assessments of employees , which could potentially be used for development and evaluation purposes

-- developmental programs with individually designed learning contracts to meet employees developmental needs

-- sample performance standards for operating in TBO environments

While these do not perhaps represent the full range of methods required, they are a potent methodological core that could significantly leverage change in the APHIS leadership culture, if they are:

-- properly linked
-- supplemented with any necessary additional components
-- made readily available on user-friendly formats and supported with technical assistance, and
-- implemented consistently throughout APHIS

In other words, if APHIS leadership maintains a clear intention to change its leadership culture, methodologies that can help leverage this change are either available for diffusion or can be developed.

Team-Based Organizations

There are currently numerous teams that are operating within APHIS in many different units and performing different kinds of tasks. Some intact teams that we are aware of include:

-- Field Servicing Office, M&B
-- Human Resources Operations, M&B
-- NER Regional Office, PPQ
-- Port of Miami, PPQ
-- CEAH - Fort Collins, VS
-- NVSL, VS
-- Organization and Professional Development
-- Brownsville Work Unit, PPQ
-- St. Louis Work Unit, PPQ
-- Eastern Pennsylvania Field Service Team, VS
-- Pittsburgh Work Unit, PPQ

While these are not trouble-free examples, these represent a range of areas that demonstrate the effectiveness of the team concept. Perhaps as important or more important are the many demonstrations of cross-functional teams that occur, e.g., in the international and trade arena, that are showing increasing evidence that teamwork is the modality by which APHIS will fulfill its potential in accomplishing its mission.

In addition, APHIS has a long and rich tradition of using task forces, project teams, and cross-unit teams to accomplish critical tasks. And increasingly, these task forces are made up of cross-unit and/or multi-disciplinary work group members.

Finally, since 1988 numerous work units within APHIS have taken advantage of the availability of internal OD assistance to conduct team building. While these efforts have not necessarily taken groups all the way to where they might be termed "real teams", they have certainly helped prepare a comfort and readiness with a higher level of participation in group decision making. And these efforts have been conducted throughout the entire APHIS organization, both in field and headquarters locations, and at all levels.

In the APHIS experience, there has been tremendous learning about the requirements for developing sustained team performance. There are three basic approaches to starting up a TBO:

A team-based organization (TBO) start-up model has been developed (attached) which provides the overall architecture to guide such an effort. This is a comprehensive approach*, and one which has been validated by groups who have attempted to start up team efforts, who see within it the key to avoiding many of the predictable pitfalls of starting up such an effort.

This start-up approach, while increasing the likelihood of success, is also resource-intensive. A less intensive approach to start-up is to send team members through training*. By training them within intact work groups, some of the elements of the systemic start-up are addressed, and this level of effort may be adequate for some teams.

The third approach, attempted by too many teams, is to simply announce that they are now performing as a team, and counting on the presumed good sense and capabilities of the members to make it work. While this is perhaps adequate in some cases, it is less than effective in many cases, and outright disastrous in some.

---

* There are two primary modes of TBO support-- training and systemic start-up;
-- training includes the assessment and development of team skills; it is appropriate for either individual teams that are already established and reasonably well functioning

-- systemic start-up follows the TBO Start-Up Model (attached) which includes: readiness assessment, systems planning, team building/training, start-up, and ongoing development/consultation; it is appropriate for teams, where more complex issues or structure, systems, and work processes need to be worked out before teams can be effective

Strategy Overview (see attachment)

The strategy in this action plan, then, is one which introduces and educates APHIS leadership about shared leadership and teams, aligns them with the vision and intended outcomes, acquaints them with the range of methodologies that are available and the costs of those methods, and then **lets them select the approach to which they are ready to commit the necessary resources.** In addition, there will be an overall redesign of human resource systems to support these changes, as well as pilot initiatives to demonstrate the viability of the TBO concept.

Attached is a depiction of the overall TBO/Leadership Strategy which depicts the major components, represented by a series of concentric half-circles. This depiction is intended to illustrate that the components are interlocking and have some hierarchical relationship among them (i.e., some components are dependent on others). The components are:

1. **Agency wide Commitment to TBO/Shared Leadership Vision/Outcomes:** While this commitment exists within the AMT, it must be expanded throughout APHIS. This will help the current leaders develop concrete and agreed to examples of what shared-leadership would look like so they can describe, model and reward desired leadership behavior, competencies and performance. This would also include showing them how current tools and initiatives support the transition (connecting the dots). It would also provide education on competency-based HR management (what it is and why we would use it).

2. **Aligning Leadership:** The effectiveness of the strategy depends heavily on the visible modeling of shared leadership principles by the leadership, which in effect communicates commitment and intention to reward teamwork

3. **Array of Methods and Options:** Once the agency has committed, leaders must be provided with a range of tools to select from, at their discretion, in order to move their units toward a TBO/shared leadership approach

4. **Pilot TBO Initiatives to Demonstrate how well the concept works:** To validate and encourage APHIS managers and leaders in moving toward a TBO, a select group of high visibility/high payoff projects will demonstrate the TBO concept in action; priority will be given to projects which are multi-disciplinary and/or multi-unit

5. **Resources Available/Potential to Develop More:** APHIS managers have available to them a group of resource people who can assist them in various ways in becoming team-based; resources are available in OPD, the HR community and ITS; however, it is desirable and necessary to transfer technology from the HR and OPD community to the program units, in order to create a larger resource pool and ensure that these leadership change efforts are fully owned by the overall organization. Therefore, APHIS units can elect to identify their own employees to receive specific training in assisting with TBO start-up efforts and in applying the HR tools that are needed to leverage the change.

6. **System Changes:** Success will clearly depend on the alignment of human resource management systems with concepts of teamwork and shared leadership; therefore, a TBO/shared leadership System Design effort will be conducted vigorously to help ensure that the agency's efforts to move in this direction are supported by its policies and procedures.

The energetic fulfillment of these six components will significantly move APHIS toward its vision. In addition, the strategy calls for ongoing monitoring and learning about teamwork and shared leadership. In furtherance of the strategy to "connect the dots", the strategy will also incorporate elements of workforce diversity, conflict resolution, continual learning, and customer service.

Expected Outcomes

(quoted from the APHIS vision)

"Recognize that managers and supervisors are leaders and that in a shared leadership organization different leadership skills are required of managers and supervisors. APHIS managers and supervisors will undertake new innovative leadership techniques that will expedite the change from a command-and-control leadership role to a coaching and facilitating leadership role."

"Share leadership at all levels through a team-based organization. Whenever possible, form and disband teams that cross unit lines and academic disciplines to complete specific work tasks. Team participation is based on obtaining appropriate skills, knowledge, and experience from wherever they may reside. APHIS will be better prepared to accomplish its mission through teamwork, and employees will be valued for their leadership contributions."

Goal (should be written in a results oriented way, that is, not what activity will be done, but what results will be accomplished):

As is the case with virtually all of the change agenda elements, the primary outcome will be improved customer service. Customers will benefit from increased organizational effectiveness and improved products and services which will result from leaders who help the organization establish and achieve customer-focused goals through high performing teams and employees.

More specifically:

1. APHIS positional leadership positions at all levels will move from a command-and-control model of leadership to shared leadership as a result of :

-- positions being established based on a comprehensive and accurate assessment of needs

-- recruitment based on an appropriate TBO/shared leadership competency model

-- selections stemming from effective selection technologies

-- training and development that incorporates optimal learning technologies, timely availability, and efficient approaches that ensure behavioral alignment with the competency model

-- reinforcement of desired behaviors through performance management systems, awards, and other forms of recognition

2. Within 4 years, the majority of the employees in APHIS will be active members of intact work teams that have:

   a. Assessed the appropriateness of the team concept and when appropriate, designed a team structure that better enables optimal team performance

   b. Established a foundation for effective team performance with:

      -- goals that are outcomes and customer-oriented
      -- roles that are clearly defined and accepted by members
      -- systems/procedures that support teamwork and goal accomplishment
      -- norms that support collaboration
      -- teamwork skills that enable effective and satisfying team participation

   c. Achieved significant increases in effectiveness in terms such as:

      -- enhancement of value-added activities
      -- reduction of non-value added activities

3. All APHIS-issues which are multi-disciplinary in nature will have assigned cross-unit teams, leading to increased quality and productivity of performance in terms of:

-- integration of services at point of delivery
-- development of more appropriate, effective, and strategic responses focused on customer needs

4. All efforts to operate in a shared leadership through teamwork mode will be supported and reinforced by human resource, information, and other relevant systems.

Success measures will be customized, and will revolve primarily around:

a. Team Self-reports
b. Review of team effectiveness by colleagues (peer ratings)
c. Customer satisfaction measurements
d. Productivity increase in value-added activities
e. Reduction in non-value added activities
f. Leadership competency assessment
g. Alignment of agency systems (human resources, information, etc.)
h. Cost reduction

Force Field Analysis

Use this form to analyze the factors (existing conditions, cultures, processes, systems, structures, etc.) that will help or hinder progress. Then, decide what actions to take to support the factors that help and to minimize the factors that hinder.

Factors that will help (with actions to strengthen):	Factors that will hinder (with action to minimize):
-- OD/Training capacities (transfer OD/Training capacities to other interested/capable people within APHIS) -- Some experience with successful teams (share learnings from these experiences with others; use those who have been so involved in spreading the team concepts) -- Some leadership teams are practicing team management (assist those teams in devising strategies to spread team practices within their organizations) --extensive training in leadership skills throughout agency (identify leaders who might be credible and effective communicators, resources , and change agents) --awareness of need to change styles is widespread (spread information about change methodologies to change access to resources)	--resources to adequately support start-ups (identify other resource-driven initiatives that can be folded into the TBO initiative; demonstrate how TBO will overall assist in resource management) -- geographic distribution (develop network of change agents that are geographically dispersed and available to work across APHIS lines) --time availability to participate in start-up activities (tie in to other initiatives, e.g. diversity, conflict resolution, etc.) --training/continuous learning still not seen as part of "real work" (communicate management commitment; communicate evaluation results that demonstrate payoff from TBO initiatives in term of productivity) --volume of other change initiatives and lack of full integration of these (integrate to the extent possible)

Factors that will help (with actions to strengthen):	Factors that will hinder (with action to minimize):
--lack of resources/NPR recommendations (in all communications, identify how the team concept can economize the use of resources) --strong Administrator/AMT commitment (directly engage Administrator/AMT, through video and live appearances in demonstrating TBO commitment) --APHIS program visions (incorporate program visions into any generic materials about TBO; use communication opportunities and channels within programs to inform/educate about TBO; use to convince programs to dedicate resources to TBO) --other vision elements support teams (work with those element groups to combine or complement action plans) -- experience with a variety of shared leadership approaches -- availability of numerous key methods and tools for promoting shared leadership that can be adapted and diffused throughout the agency -- Human Resources Division recently created a Program Development Branch which is equipped and tasked with system design responsibilities	--hierarchical culture with "doer" style of management as opposed to "enabler" (as documented in the APHIS Workforce Diversity culture audit).

ACTION PLAN

I. TASK ONE: Preparing the Ground: Develop resources to communicate throughout the agency the commitment to a vision of a team-based organization (TBO), the methods that can be used to get there, and the resources available to support movement toward vision; design survey to assist TBO start-up support needs; design training modules to integrate workforce diversity and conflict resolution skills into TBO effort.

Resources include:
1) definition of shared leadership and TBO

2) Transition model showing what we are moving from (behaviors associated with past leadership practices and activities focused primarily on managing in a command and control environment) to what we are moving toward (leadership practices which support the APHIS vision and shared leadership environment),

3) Competencies needed for successful performance in a shared leadership/teamwork environment with special emphasis placed on the competencies associated with "change leadership and implementation, empowering others and teamwork",

4) Information on organizational change and change leadership, organizational transition management, and other information which will help leaders and team members understand their new roles,

5) An instrument to assess current reality as a basis for planning transition to the vision.

Resources (People, $, and other - include where the resources will come from)
- OPD and HRD to develop resources
- PPD to assist with survey design
- Workforce Diversity Steering Committee (WFDSC) to work on diversity training modules and materials.
- Conflict Prevention and Resolution Coordinator to work on conflict resolution training modules

Who is Responsible? (for seeing that the tasks are completed- Include connections with other teams when needed)
OPD/HRD

When is it due?
Early Third Quarter FY96

II. TASK TWO: Gaining Management Commitment:
Conduct regional leadership conferences in order to:

- orient/educate/gain/commitment to leadership /TBO/ continuous learning/customer service concept

- develop parameters for application

- set goals and plan implementation of the change strategy within the region

Resources (People, $, and other - include where the resources will come from)
Travel to meetings for leadership personnel (money, time), facilities etc.

Who is Responsible? (For seeing that the task are completed - Include connections with other teams when needed)
Regional staffs to designate planning team/coordinators

OPD staff to design/facilitate and support

PPD staff to assist with survey design and analysis

HRD and WFDSC to provide subject matter assistance

When is it due?
Third and Fourth Quarters FY 96

III. TASK THREE: Prepare and Conduct APHIS Wide Implementation:

1. Using data collected from regional conferences, identify overall approach to address identified needs, including developing capacities in unit-based resource people to support implementation:
2. As resource people are prepared/available, initiate implementation.

Resources (People, $, and other - include where the resources will come from)
Change agents: Collateral Duty time for selected individuals to receive training (4-5 weeks) plus a minimum of 12 weeks a year to act as change agent. Tuition for selected portions of training (at approx. $3,000); all travel costs. OPD time to plan and conduct training.

Instructors: employees to serve as instructors 1 week certification plus preparation and delivery time (@ 5 days per group of 6-15 individuals); $400 materials fee plus travel costs
Instructor Certification: OPD delivers; depending on demand, may require additional

Master Trainer @ 6,000 ea.

Who is responsible? (for seeing that the tasks are completed - Include connection with other teams when needed)
OPD and WFDSC to deliver modules in Diversity

When is it due?
Change Agents - Identification made by Mid-Third Quarter, Training completed by the end of Fourth Quarter, or FY97.

Instructors - already underway; will accelerate as additional resource people are available.

IV TASK FOUR: Compatible Systems:
TBO Systems Design Initiative will be conducted to ensure that all human resource systems are designed in alignment with the shared leadership/TBO philosophy

Resources (People, $, and other - include where the resources will come from)
HRD, OPD, ITS plus selected others to assist in working groups

Who is Responsible? (for seeing that the tasks are completed- Include connections with other teams when needed)
HRD primary

WFDSC and OPD to provide input

When is it due?
Completed and published guide to Human Resource Systems by early Third Quarter FY 96

V. TASK FIVE: Demonstrating Viability:
Identify 2 -3 key APHIS pilot projects to demonstrate the viability of the TBO approach, the methodology, and the results. Projects to be selected by the AMT in terms of strategic importance and potential for success (e.g., global trade, veterinary biologics, plant health center); priority given to multi-disciplinary and/or multi-unit projects

Resources (People, $, and other - include where the resources will come from)
Units involved in start-up activities (see attached TBO start up model as reference)
The involvement of employees as instructors (see tasks above)
OPD to provide change agent support
PPD to assist in evaluation

Training materials

Who is responsible? (for seeing that the tasks are completed- Include connections with other teams when needed)
OPD to facilitate

WFDSC as appropriate

When is it due?
Beginning by the end of FY 96

VI. TASK SIX: Focus on Results and Continual Learning:
Systematic Assessment of TBO progress will be implemented to provide ongoing feedback, encouragement, reinforcement, and learning. Will include annual APHIS Learning Organization Conference for change agents, instructors, and any other interested members of the APHIS team to evolve APHIS practices in the areas of teamwork, leadership, and continual learning.

Resources(People, $, and other - include where the resources will come from)
Annual Change Conference (travel, time, materials)

Who is Responsible? (for seeing that the tasks are completed- Include connections with other teams when needed)
Champions for Shared Leadership Through Teamwork
PPD to assist in assessment design
One APHIS group to assist with annual APHIS Learning Organization conference

Input required for the plan: HRD, Continual Learning Team, One APHIS team, WFDSC, PPD

When is it due?
Assessment process to be on-line in Third Quarter FY 96; Annual conference to begin in FY 96

SHARED LEADERSHIP THROUGH TEAMWORK
Resource Estimates

The following are the resources that are anticipated to be needed to create the infrastructure needed to fully implement this plan. Additional resources will also be required as follows:

-- individual units will be required to purchase training modules and materials for individuals who are trained, estimated at $400 per participant (PPQ, IS, and BBEP have already invested some money in the purchase of these materials)

-- units will also need to provide instructors that can meet certification standards to deliver the training units; this plan will fund the training, certification, and equipping of those instructors

-- work units will need to provide the time for employees to fully participate in team planning and training activities

Unless noted otherwise, the funds would be targeted for FY 96.

AMOUNT	DESCRIPTION
60,000*	4 Regional Leadership Conferences (to fund travel for up to 15 participants in each conference)
12,000**	Preparing 2 Master Trainers to assist in certifying instructors to deliver TBO training modules (Note: 2 Master Trainers currently exist; this is an item that could be done in FY 97 if budget does not allow for it in FY 96)
17,500 instructors	Purchase of 10 sets of video materials to be shared among the for delivering training modules
15,000	Purchase of a video/tape/book lending library
12,500	Strategic advising from Zenger-Miller, a firm that has extensive experience in implementing TBO initiatives in large organizations
30,000**	Training for 6-8 internally selected change agents from within the units to enable accelerated movement toward a TBO environment (does not include travel costs)

10,000**	Annual Leadership Conference (assumes units will fund the travel for their own participants; only covers overall costs)
157,000***	TOTAL

* Could be funded by units as part of operating expenses

** Could be done in FY 97

*** If items are postponed until FY 97, the total FY 96 cost would be 105,000; if units also assume costs for regional leadership conference, total FY 96 cost would be 45,000

Attachment

Self Assessment of Strategy Action Plans

Mark the number on the assessment scale that best reflects your team's assessment of the plan for each guideline and for the first two guidelines, explain the rating you gave in the space provided:

Guidelines	Rating Low Med High
Rate your plan on its focus on customers/stakeholders:	
Produces better results for APHIS customers and stakeholders Explain: - A more empowered workforce that integrates its services at the point of delivery is far better able to satisfy customer needs in a timely manner.	1 2 3 4 **5**
Improves service to APHIS customers Explain: - Leadership which ensures that goals are clearly established based on customer requirements, and that systems and behaviors are integrated and aligned throughout the organization ultimately results in improved customer service. The process by which teams are established should prompt a re-examination of the work process; combined with the focus on the customer needs in the APHIS vision, the redesign of work processes for a team-based environment should enable the services to be better focused on meeting customer needs. Further, a team-based environment emphasizes the need for ongoing feedback which leads to continuous improvement--another condition that enable higher levels of customer service.	1 2 3 4 **5**
Builds customer/stakeholder alignment	1 2 3 **4** 5
Rate your plan on how it contributes to the APHIS Mission/Vision:	
Contributes to the APHIS mission	1 2 3 4 5
Contributes to the APHIS vision	1 2 3 4 **5**

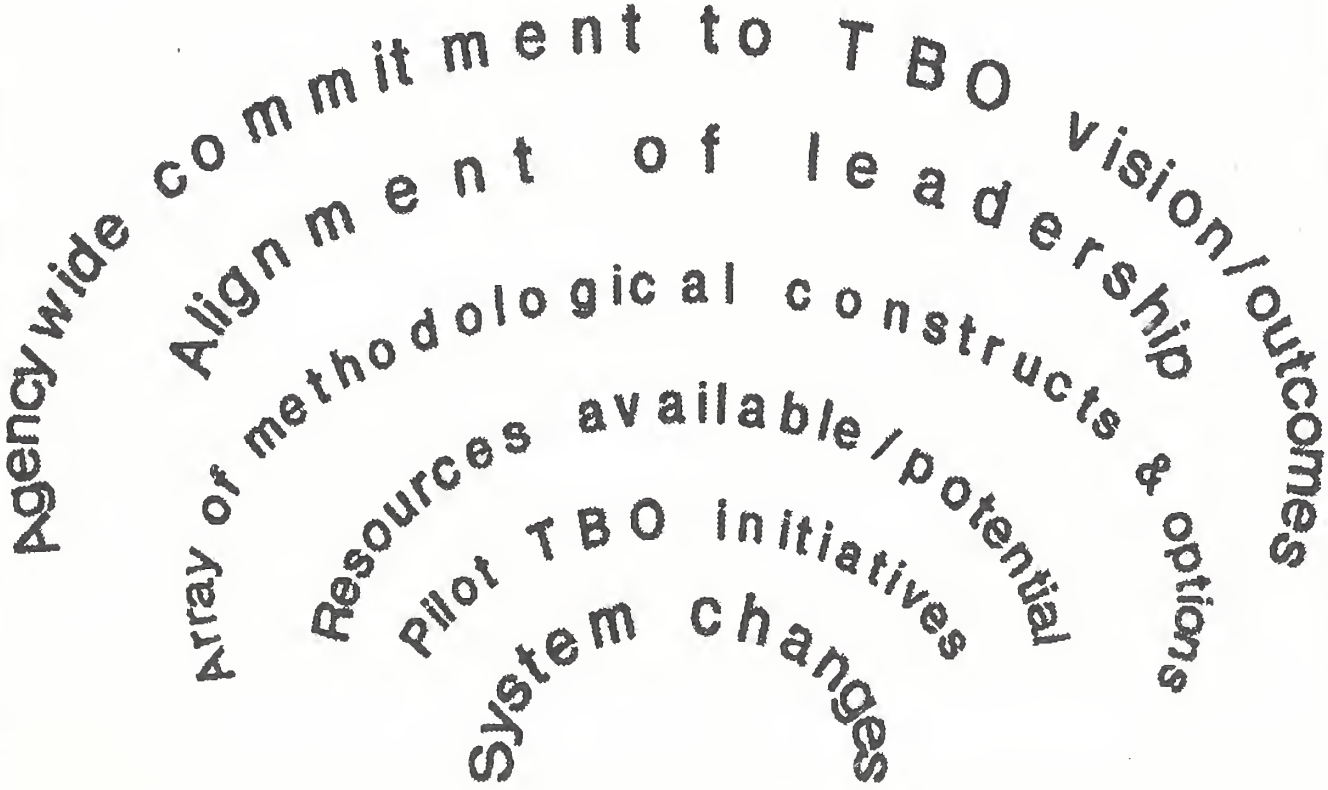
Self Assessment of Strategy Action Plans

Mark the number on the assessment scale that best reflects your team's assessment of the plan for each guideline:

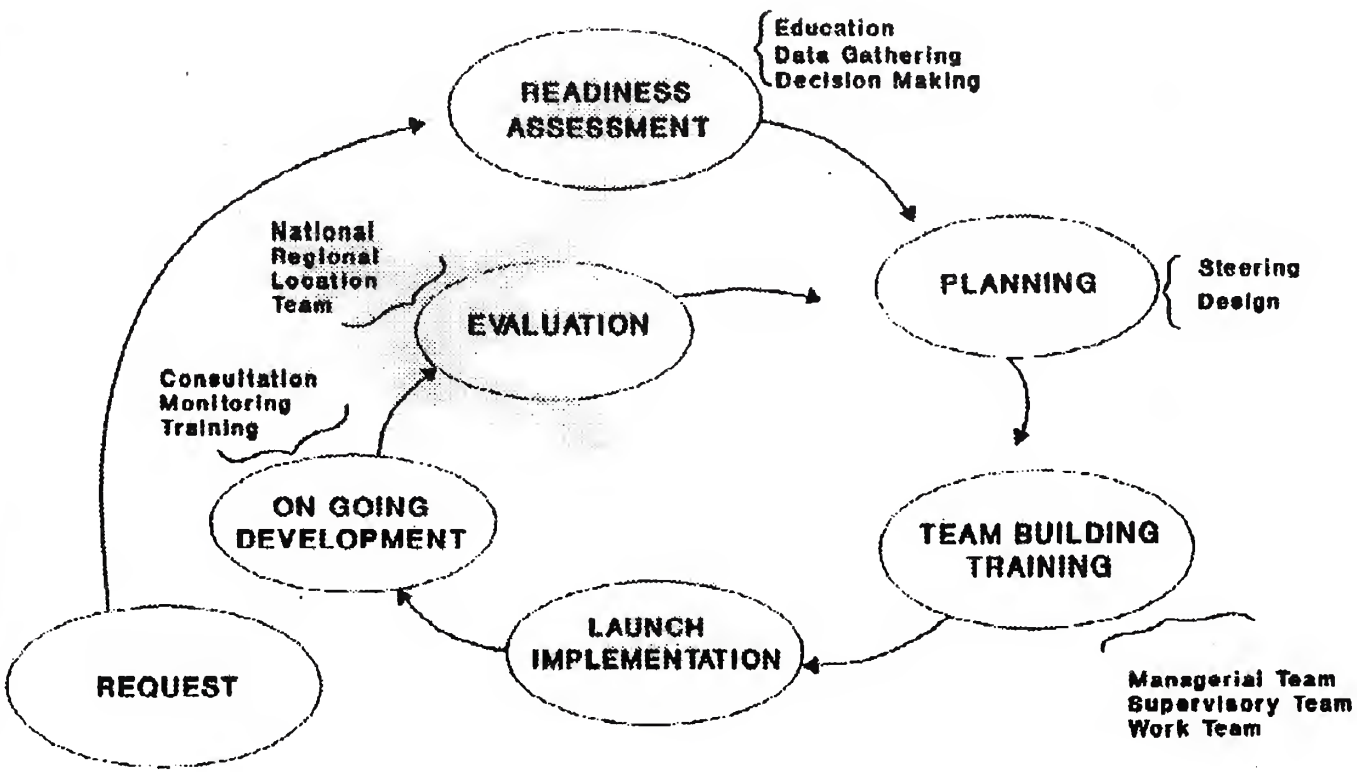
Guidelines	Rating Low Med High
Rate your plan on its feasibility:	
Feasible to accomplish	1 2 3 4 **5**
Rate your plan on its focus on employees and empowerment:	
Likely to gain employee buy-in	1 2 3 **4** 5
Empowers employees to fulfill the vision/mission	1 2 3 4 **5**
Rate your plan on its results focus:	
Produce early visible successes	1 2 3 4 **5**
Likely to succeed overall	1 2 3 4 **5**
Produce a broad impact	1 2 3 4 **5**
Produce long-lasting results	1 2 3 4 **5**
Maintains a focus on results	1 2 3 4 **5**
Avoid unintended negative consequences	1 2 3 **4** 5
Aligns systems/structures and processes	1 2 3 4 **5**
Rate your plan on its time frames:	
Time frame is vigorous	1 2 3 4 **5**
Time frame is reasonable	1 2 3 **4** 5

rev. 12/11/95

Teamwork Through Shared Leadership Strategy



TEAMS START UP MODEL



Achieving the Vision - Strategy Action Plan
Revised, January 16, 1996

Outcome Expected (List Vision Element--Include a statement of how it will meet customer/stakeholder/partner needs):

Achieving the Vision. The APHIS Vision will be effectively communicated to all APHIS employees, customers, stakeholders, and partners so that all parties understand the importance of the vision and the steps needed to implement the vision and change strategies.

Goal (Should be written in a results oriented way, that is not what activity will be done, but what results will be accomplished):

1. Develop a clear, easily understood rationale which supports the vision and one which the APHIS community and stakeholders can identify with.

2. Implement the most efficient and effective methods* for 2-way communication of the vision and the change strategies among APHIS employees, customers, stakeholders, and partners.

*methods means: communications tools, pathways and procedures

Indicators of Success (Include a statement on how you will know if the plan is a success, what will you see? How will you know that the needs of customers/stakeholder/partners are being met?):

1a. The APHIS community can describe the vision and can identify how their activities contribute to the achievement of the vision.

1b. APHIS stakeholders can identify how the APHIS vision benefits them.

Examples of ways this may be accomplished...

a) an increase of success stories being sent to INSIDE APHIS
b) random interviewing of employees and customers
c) focus groups
d) survey APHIS employees, customers, stakeholders, and partners to measure response to the vision strategy implementation.

2. Internal and external customers will be able to and will provide feedback to this team using a variety of communications technology.

NOTE: The activities of the Achieving the Vision Strategy Team are highly dependent on the activities of all the other strategy teams. This plan will be updated as necessary to reflect the needs of the other strategy teams.

"Force Field" Analysis

Use this form to analyze the factors (existing conditions, cultures, processes, systems, structures etc.) that will help or hinder progress. Then, decide what actions to take to support the factors that help and to minimize the factors that hinder.

Factors that will help:	Factors that will hinder:
Integration Team **Previous Participants in Vision and Change Workshops** **The APHIS Community has the potential (talent, skills, etc,) to achieve the vision**	**Traditional communication mechanisms are not always effective** **Traditional ways of thinking/the existing culture** **More difficult for field employees to see themselves in the vision** **Too much time has passed without clear evidence of change** **Some strategy teams are not able to express clear and compelling rationales for why we are changing**
Actions to take to support these factors:	**Actions to take to minimize these factors:**
Provide information, suggestions, and feedback to Integration Team on a regular basis. **Get previous participants actively involved in the change strategy implementation plans.** **Reward progress and innovative thinkers** **Develop networks for innovators to communicate and support each other**	**Experiment and implement new communication mechanisms.** **Help develop clear and compelling rationales** **Do not reward or reinforce the traditional ways of thinking or the current culture** **Reward progressive behavior** **Form regional communication's teams (use list of participants from the previous conferences)** **Ensure that deadlines are expedited when possible and adhered to**

Tasks, Resources, Responsible Person(s) and Deadlines

What are the key tasks? (List key milestones)	**What resources do you need?** (People, $, and other--Include where the resources will come from)	**Who is responsible?** (For seeing that the tasks are completed--Include connections with other teams when needed)	**When is it due?**
1) Collect the information necessary to develop clear and compelling rationales. Test the rationales in the field to ensure that they are understandable and can generate alignment.	PPD	Matina Sawicki Tim Blackburn Jerene Estes	Done
2) Identify the most effective methods of communication with the APHIS community and stakeholders. a) Introductory Vision Video (to be used stand-alone and as a tool in the alignment workshops) b) Poster c) Color overhead sets (Note: more costly than slides) d) Miscellaneous special communication products (small exhibits, bookmarks to be included with correspondence, basic brochure, etc.).	LPA (lead) ITS Video: $10,000	Anna Cherry - lead Julie Crom - backup	January 1996
3) Prepare and disseminate ongoing, regular communications to APHIS employees (print, electronic mail, *Inside APHIS*, videos, Internet, voice mail, etc.). Quarterly videos to share success stories from the field	LPA ITS Videos: $12,000	Rick McNaney Tim Blackburn	Ongoing

What are the key tasks? (List key milestones)	**What resources do you need?** (People, $, and other--Include where the resources will come from)	**Who is responsible?** (For seeing that the tasks are completed--Include connections with other teams when needed)	**When is it due?**
4) Establish a library or central source for vision materials. This includes the development of a speakers bureau and the compilation of activities and accomplishments related to the change implementation.	Volunteers from HQ staffs to coordinate and maintain.	Matina Sawicki	Done
5) Activate a variety of forums to establish dialogue and create a feedback mechanism on the vision and change strategy implementation. Develop and maintain a calendar of key events that provide an opportunity to communicate with employees, customers, stakeholders, and partners. <u>Phase 1:</u> Large group activities (Examples: town hall meetings or conferences at the Regional level similar to the one in Riverdale 9/18/95 for the management teams; satellite conference) <u>Phase 2:</u> Direct contact with employees in the field and HQ where examples of the vision can be shared and discussions can be used to identify how it can be translated to day-to-day activities. (Focus groups, roundtables, electronic discussion forums, existing training events, etc.) <u>Phase 3:</u> Survey to collect feedback	Travel - Local Units Supplies - OPD Satellite Broadcast	Workshop Design Team Members include the Achieving the Vision Team, plus Yolanda Hunt, Lance Cope, Jerry Coursey, Larry Camp, Sue Coburn, Jane Berkow, Bill Zybach. (Membership is fluid and will be expanded as the workshop format, locations, and schedule unfold.)	First Launch Workshops Event to be held the week of Jan. 22, 1996 in Denver and Dallas Other workshops on request Satellite event in June, 1996

What are the key tasks? (List key milestones)	**What resources do you need?** (People, $, and other--Include where the resources will come from)	**Who is responsible?** (For seeing that the tasks are completed--Include connections with other teams when needed)	**When is it due?**
6) Prepare an implementation "tool kit for achieving the vision" that can be used by teams, supervisors, and managers. The tool kit will contain a menu of processes that can be used to achieve the vision, such as meeting designs, workshop formats, performance elements, and educational activities.	Change Agents and OPD Volunteers from field units Budget: $5,000	Julie Crom Jerene Estes	To be distributed at launch workshops, starting Jan. 1996
7) Develop a plan to celebrate successes and short-term wins. Facilitate rewards for efforts that show initiative, non-traditional ideas, and risk-taking. Facilitate rewards (not just monetary) for efforts that show initiative, non-traditional ideas, and risk-taking.	Suggest a starting reward pool budget of $10,000 Coordinate with Continual Learning Team	Tim Blackburn Sharon Coursey	Preliminary plan by: March 1

Self Assessment of Strategy Action Plans

Mark the number on the assessment scale that best reflects your team's assessment of the plan for each guideline and for the first two guidelines, explain the rating you gave in the space provided:

Guidelines	Rating Low Med High
Rate your plan on its focus on customers/stakeholders:	
Produces better results for APHIS customers and stakeholders Explain: *This plan is a systems approach using a wide variety of communication devices and methodologies.*	1 2 3 4 5 *Rating = 5*
Improves service to APHIS customers Explain: *Our service is to provide a clear message to APHIS customers. It will provide a foundation for the services of the other strategy teams.*	1 2 3 4 5 *Rating = 4*
Builds customer/stakeholder alignment *Rating = 5*	1 2 3 4 5
Rate your plan on how it contributes to the APHIS Mission/Vision:	
Contributes to the APHIS mission *Rating = 5*	1 2 3 4 5
Contributes to the APHIS vision *Rating = 5*	1 2 3 4 5

Self Assessment of Strategy Action Plans

Mark the number on the assessment scale that best reflects your team's assessment of the plan for each guideline:

Guidelines		Rating Low Med High
Rate your plan on its feasibility:		
Feasible to accomplish	*Rating = 5*	1 2 3 4 5
Rate your plan on its focus on employees and empowerment:		
Likely to gain employee buy-in	*Rating = 4*	1 2 3 4 5
Empowers employees to fulfill the vision/mission	*Rating = 3*	1 2 3 4 5
Rate your plan on its results focus:		
Produce early visible successes	*Rating = 4*	1 2 3 4 5
Likely to succeed overall	*Rating = 4*	1 2 3 4 5
Produce a broad impact	*Rating = 5*	1 2 3 4 5
Produce long-lasting results	*Rating = 4*	1 2 3 4 5
Maintains a focus on results	*Rating = 3*	1 2 3 4 5
Avoid unintended negative consequences	*Rating = 4*	1 2 3 4 5
Aligns systems/structures and processes	*Rating = 5*	1 2 3 4 5
Rate your plan on its time frames:		
Time frame is vigorous	*Rating = 4*	1 2 3 4 5
Time frame is reasonable	*Rating = 5*	1 2 3 4 5

Use this space for any additional comments about your plan:

- *Success will depend on the time commitments of this team as well as other partners in the change effort.*
- *The change effort is a long-term process and many of these measures will take time to achieve.*
- *Subsequent plans from this team will include more details and more specific measures for success.*

REALIGNMENT OF BBEP PROGRAMS TO SUPPORT THE APHIS VISION

Biotechnology, Biologics, and Environmental Protection (BBEP) was formed in the APHIS reorganization of 1988. BBEP was seen in 1988 as a transitional organizational structure to provide focus and visibility for the program areas of biologics and biotechnology and to build capacity for the agency in environmental protection. The major objectives outlined in 1988 for BBEP have been accomplished. New challenges and the APHIS vision provide new opportunities for the future of these three program areas and provide the compelling impetus for new alignments in these three program areas.

INTENTIONS FOR BBEP IN THE 1988 APHIS REORGANIZATION

Biotechnology

To provide visibility and focus to a new program that was expected to grow and change.

To build a multidisciplinary team of scientists with a range of relevant education, training, and experience.

To build capacity in environmental analysis and risk communication for biotechnology products.

Veterinary Biologics

To provide increased visibility and focus to a long established program.

To add multidisciplinary focus to a strong animal health/public health team. Specifically, to add expertise in microbiology, epidemiology, immunology and biotechnology.

To build capacity in risk analysis, environmental analysis, and risk communication for veterinary biologics.

Environmental Protection

To build capacity for the Agency for environmental assessment and ecological risk assessment, to assure compliance with environmental statutes, and to support program decisions.

To build a multidisciplinary team with expertise in environmental law, ecological assessment, and environmental documentation.

In 1990, Technical and Scientific Services (TSS) and National Monitoring and Residue Analysis Laboratory (NMRAL) were added to BBEP. The additional objectives were added:

To develop a stable funding base for NMRAL so that there was adequate funding for laboratory functions.

To integrate functions of assessment, monitoring and testing.

REASONS FOR NEW ALIGNMENT FOR BBEP PROGRAM AREAS

The most compelling need for change is the need for consolidation of the veterinary biologics program in one structure, answering to one person, and having a unified budget. This need has been identified in the veterinary biologics program review by the employees in the program (in each of the three units), by firms regulated by the program, by other customers, and by those in BBEP and Veterinary Services (VS) management. In spite of the initiatives in unification through common approaches in quality improvement and teamwork across unit lines, the structural division in the program between VS and BBEP inhibits unity of purpose and policy, stymies innovation, restrains prioritization between testing functions and those of pre-licensing and inspection, and obstructs efforts in developing a unified workforce plan. Additionally, the vision for a Veterinary Biologics Center would be facilitated by structural unification of the program. The flexibility provided by program consolidation would allow opportunities for much more innovation in transition plans to the eventual consolidation of the Veterinary Biologics Center in Ames, Iowa, and would provide many more options for alternative career choices for employees in the larger workforce.

The agricultural biotechnology industry is coming of age with new issues and a need for new approaches to regulation and facilitation of commercialization of biotech products. This year significant amounts of acreage will be planted to crops that have traits imparted or modified through biotechnology. The focus for biotechnology is shifting to trade in commodities derived from those modified crops and to other trade issues. The need for international harmonization of regulations is greater than ever. With the new emphasis comes a need for close coordination with others in the Agency responsible for phytosanitary standards and issues, and those supporting pest risk analysis in support of international trade in produce and commodities.

An Agency goal is to have environmental analysis and documentation provide support to all Agency programs. Also, ways need to be explored to bring environmental analysis into early program planning. Alignment of those functions with planning and other central support functions in the Agency should allow better service to all Agency programs.

DATA COLLECTED

Veterinary biologics program review

Consultation the BBEP Leadership Team

Input from BBEP employees

Input from BBEP stakeholders and customers

PARAMETERS FOR DECISIONS

Decisions will be evaluated in terms of how they move APHIS toward its vision.

Realignment of program areas will neither lead to an increase in staff years nor a loss of jobs.

The gains BBEP has made since 1988 will be maintained or improved upon in maintaining focus and visibility for the biotechnology and veterinary biologics programs.

Multidisciplinary teams of scientists in support of veterinary biologics, biotechnology, and environmental protection will be maintained.

These decisions will set the direction for alignment; and employees, stakeholders, and customers will be further consulted in designing implementation of these decisions.

The transition plan will be developed as a partnership with all units impacted, with the assistance of Organization and Professional Development, and with input from customers and stakeholders.

Any realignment of programs should be accomplished at the beginning of the fiscal year to minimize funding disruptions.

The new alignment will facilitate the programs to meet new challenges while maintaining program integrity.

RECOMMENDATION

1.A. Consolidate the veterinary biologics program in VS

Pros

Would provide a unified biologics program, answering to one person, and with a unified budget.

Should allow for development of more uniform biologics policy, for innovation, and for prioritization between testing functions and those of pre-licensing and inspection.

Would allow for more flexibility in implementation of a Veterinary Biologics Center in Ames, Iowa.

Would bring an additional team of multidisciplinary scientists to VS and allow for workforce planning and career development of these employees in a larger context.

Would provide linkage of the biologics program with the VS field force with the potential for better product monitoring.

Cons

Potential loss of program visibility and operational flexibility in the larger organization.

Loss of direct linkage to staffs with biotechnology and environmental expertise.

Perception among biologics program employees that scientific and professional disciplines other than veterinary medicine face a 'glass ceiling'.

1 .B. Align the environmental documentation and the ecological risk analysis function with central support functions

Pros

Aligns environmental analysis with other analysis and policy support functions to provide better support to program decisionmaking.

Maintains an 'environmental unit' responsible for policy advice to the AMT and programs on compliance with environmental statutes.

Generates opportunities for further linkage of environmental analysis with Agency planning processes.

Advances potential for cross-utilization of personnel with risk assessment experience in PPD and those that carry out the ecological risk analysis function.

Cons

May be seen by some as a lessening of emphasis on environmental protection or the loss of an environmental protection program.

Would slow or reverse attempts to integrate environmental analysis, monitoring, and testing at the Agency level (though this may be still possible at the program level).

Separation of environmental analysis and documentation from monitoring and testing may lead to some fragmentation of effort or duplication.

1.C. Align the biotechnology program and remaining environmental protection components within PPQ

Pros

Provides structural linkage to foster close coordination between the biotechnology program and others in the Agency responsible for phytosanitary standards and issues, and those supporting pest risk analysis in support of international trade in produce and commodities.

Fosters cross-utilization of personnel in multidisciplinary teams with expertise in science (plant pathology, virology, microbiology, ecology, entomology, and botany) to assist in the review of organisms under the Federal Plant Pest Act and Plant Quarantine Act.

Promotes additional cross utilization of personnel with similar functions creating economies of scale and allowing for prioritization of work load, such as those responsible for similar permit processing functions.

Through cross-fertilization, could help bring innovative regulatory process to current PPQ programs and systems for risk assessment to the biotechnology program.

Would bring environmental protection program functions that largely support PPQ (monitoring and testing) into closer linkage with the customers.

Cons

Has the potential to lessen the focus and visibility of the biotechnology program, which if it were to happen, or if a clear regulatory pathway were compromised, would cause substantial concern among stakeholders and customers.

Would move to one program unit (PPQ) from another (BBEP) some environmental protection functions that support other programs units (Some part of monitoring, pesticide data support, and quality assurance/quality control).

ALTERNATIVE OPTIONS TO THE RECOMMENDATION

2. Consolidate the veterinary biologics program in BBEP, with no other changes in BBEP

Pros

Would maintain a highly visible veterinary biologics program with a multidisciplinary focus and maintain linkages to biotechnology and environmental program expertise.

Would provide a unified program, answering to one person, and with a unified budget.

Should allow for development of more uniform policy, for innovation, and for prioritization between testing functions and those of pre-licensing and inspection.

Cons

Budget constraints and lack of flexibility would continue to be issues.

Challenges in administering the Biologics Laboratory within BBEP separate from NVSL.

Would limit the career development of employees by grouping them in a small and highly specialized organization. Recruitment and retention of qualified personnel would remain difficult.

3. Modify the recommendation (parts 1.B and 1.C, above) to maintain a consolidated environmental protection program (Environmental Analysis and Documentation (EAD), and TSS including NMRAL) aligned with central agency support functions.

Pros

Should maintain high visibility for the Agency environmental program.

Has strong support from employees in EAD and TSS who value the multidisciplinary team approach to environmental protection and strongly advocate an integrated approach to environmental protection--analysis, monitoring, and testing.

Provides a level of independence from program delivery units in assuring an unbiased analysis of environmental compliance of the Agency. Employees in EAD and TSS believe this independence to be essential to the integrity of the decisionmaking process.

Cons

Would move a much larger number of personnel and functions to be aligned with central support functions, which likely would be funded through assessments of line items in the annual Agency PARR process or through direct assessment of programs supported. This would lead to greater fluctuation in funding and may not support some units, such as NMRAL which is dependent on outside contracts for support.